



State of California—Health and Human Services Agency
Department of Health Services



ARNOLD SCHWARZENEGGER
Governor

February 6, 2004

TO: PROSPECTIVE APPLICANTS

SUBJECT: REQUEST FOR APPLICATION (RFA) TCS 04-100

Enclosed is RFA TCS 04-100, entitled "California Partnerships for Priority Populations." The successful applicants will function as community partnerships to conduct an advocacy campaign, support the California Department of Health Services, Tobacco Control Section (CDHS/TCS) funded projects to serve priority populations with tobacco control-specific interventions, and to collaborate with CDHS/TCS.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all instructions to be reviewed. **Applications are due to CDHS/TCS on March 5, 2004, no later than 5 p.m.**

The complete RFA and all required forms are also available on the CDHS/TCS website: <http://www.dhs.ca.gov/tobacco>. In addition, the policy section of the *CDHS/TCS Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants in preparing their application(s).

If your organization is eligible and interested in applying for funds, it would be beneficial to attend the scheduled Information Meeting. Please bring a copy of the RFA with you to the meeting. Answers to questions about the RFA will only be provided at this meeting. Phone calls for programmatic technical assistance in preparing the application **will not** be accepted.

INFORMATION MEETING

February 20, 2004

9:00 a.m. – 12:00 p.m.

Building 172, Room A and B
1500 Capitol Avenue
Sacramento, CA 95814

Prospective Applicants
Page 2
February 6, 2004

If anyone attending the Information Meeting requires special accommodations for the hearing impaired, please contact Robin Maitino, Administrative and Contract Support Unit, TCS, at (916) 449-5460 by February 13, 2004. Thank you for your interest in tobacco control.

Sincerely,

A handwritten signature in dark ink, appearing to read 'D. Bal', with a long horizontal line extending to the right.

Dileep G. Bal, M.D., Chief
Cancer Control Branch

Enclosure

California Partnerships for Priority Populations

**Request for Application
TCS 04-100**

February 6, 2004

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Tobacco Control Section
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TABLE OF CONTENTS

I.	INTRODUCTION	2
	A. Purpose.....	2
	B. Background on Proposition (Prop) 99 Funding	2
	C. Previous Funding for Ethnic-Specific Tobacco Education Networks	3
	D. Addressing Tobacco Control Needs for California’s Priority Populations	4
	E. California’s Tobacco Control Program (TCP) Priorities.....	8
	F. California Department of Health Services, Tobacco Control Program (CDHS/TCS) Program Components	13
II.	GENERAL GRANT APPLICATION INFORMATION	15
	A. Who May Apply.....	15
	B. Grant Period and Funding Levels	15
	C. Application Submission Requirements	16
	D. Application Review Process	18
	E. Appeals Process.....	20
	F. Tentative Timelines	21
III.	ADMINISTRATIVE AND PROGRAM EXPECTATIONS	22
IV.	APPLICATION REQUIREMENTS AND INSTRUCTIONS	25
	A. General Requirements.....	25
	B. Organization of the Application	26
	C. Application Criteria and Instructions	26
V.	TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS	67
	Attachments 1-10	68-76
VI.	TABLE OF CONTENTS FOR ENCLOSED APPENDICES	77
	Appendices A-J.....	78-102

I. INTRODUCTION

A. Purpose

The purpose of this Request for Applications (RFA) is to fund up to seven non-profit organizations to operate the following ***California Partnerships for Priority Populations***: 1) African-American; 2) American Indian; 3) Asian and Pacific Islander; 4) Hispanic/Latino; 5) Lesbian, Gay, Bisexual, and Transgender (LGBT); 6) Low Socioeconomic Status (SES); and, 7) Labor. These projects will have responsibility for providing services throughout California. The successful applicants will function as community partnerships to support CDHS/TCS and its funded programs through priority population-specific tobacco control services. Applicants must address the following three required components in their application: 1) provide technical assistance and training to local programs; 2) develop and implement an advocacy campaign that has significance statewide and can easily be adopted for use by locally-funded CDHS/TCS projects; and, 3) provide support to CDHS/TCS. An optional fourth component that addresses cessation may also be included. More detail about each of these components can be found in Section IV of this RFA.

Funding for this RFA is made available pursuant to Health and Safety (H&S) Code Section 104385, which requires CDHS/TCS to award grants for projects directed at the prevention of tobacco-related diseases. Preference is given to community-based organizations that have demonstrated effectiveness and a capacity to provide tobacco control interventions and serve populations in areas with substantial unmet needs.

B. Background on Prop 99 Funding

In November 1988, California voters approved the passage of the Tobacco Tax and Health Protection Act of 1988, also known as Prop 99. This referendum increased the state cigarette tax by 25 cents per pack and added an equivalent amount on other tobacco products. The new revenues were earmarked for programs to reduce smoking, to provide health care services to indigents, to support tobacco-related research, and to fund resource programs for the environment. The money is deposited by using the following formula: 20 percent is deposited in the Health Education Account (HEA); 35 percent in the Hospital Services Account; 10 percent in the Physician Services Account; 5 percent in the Research Account; 5 percent in the Public Resources Account; and 25 percent in the Unallocated Account (Revenue & Taxation Code 30124).

The Tobacco Education and Research Oversight Committee (TEROC) is a legislatively mandated advisory committee charged with overseeing the use of the Health Education and Research Accounts. In performing this mandate, TEROC provides advice to CDHS/TCS, the University of California (UC) and the California Department of Education (CDE), regarding the administration of these

Prop 99-funded programs. TEROC also publishes and periodically updates a state master plan for tobacco control and tobacco-related research, and makes recommendations to California's Legislature for improving Prop 99-funded tobacco control and tobacco-related research efforts in California. Following TEROCs recommendation in the Master Plan for 2003-05, this RFA seeks to address the Master Plan's Objective 3: Work toward eliminating disparities and achieving parity in all aspects of tobacco control.

The HEA funds both community and school-based health education programs to prevent and reduce tobacco use and is jointly administered by CDHS/TCS and CDE. Currently, CDHS/TCS receives approximately two-thirds of the funding and CDE receives approximately one-third of the funding available in the HEA. CDHS/TCS is responsible for supporting a statewide tobacco control program, one of the largest public health interventions of its kind ever initiated, nationally or internationally. CDHS/TCS provides funding for 61 Local Lead Agencies (LLAs), competitively selected community-based organizations, a statewide media campaign, and an extensive evaluation of the entire TCP. CDE administers school-based funding to grades 4-8 based on an allocation method and to high schools through a competitive grant program.

The enabling legislation for Prop 99 includes Assembly Bill (AB) 75 (Chapter 1331, Statutes of 1989), AB 99 (Chapter 278, Statutes of 1991), AB 816 (Chapter 195, Statutes of 1994), AB 3487 (Chapter 199, Statutes of 1996), Senate Bill (SB) 99 (Chapter 1170, Statutes of 1991), SB 960 (Chapter 1328, Statutes of 1989), SB 493 (Chapter 194, Statutes of 1995); the annual State Budget; H&S Code, Sections 104350-104480, 104500-104545; and the Revenue and Taxation Code, Sections 30121-30130. The enabling legislation, the various codes, and the annual State Budget, provide legislative and funding authority for programs administered by CDHS/TCS to:

- Conduct health education interventions and behavior change programs at the state level, in the community and other non-school settings.
- Apply the most current research and findings.
- Give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

C. Previous Funding for Ethnic-Specific Tobacco Education Networks

Since the early 1990's, CDHS/TCS has provided funding for four Ethnic-Specific Tobacco Education Networks to serve the following four ethnic groups: 1) African American; 2) American Indian; 3) Asian and Pacific Islander; and, 4) Hispanic/Latino. The idea to fund the Ethnic Networks stemmed from the number of competitive grantees that were serving these populations who requested a way to network and share resources with each other. Initially, the goals were to build leadership, assess and coordinate the cultural appropriateness of health education materials, provide training and technical assistance, and disseminate ethnic-specific, tobacco-related

information. In recent years, the Ethnic Networks have expanded their scope to include advocacy campaigns and joint Ethnic Network activities. Advocacy campaigns have focused primarily on ethnic-specific tobacco issues as they relate to CDHS/TCS program priority areas. Campaigns have included: *Stop the Sale of Our Image* - countering American Indian imagery in tobacco advertising; *Regale Salud* – developing smoke-free housing policies for the Hispanic/Latino population; *Not in Mama's Kitchen* – focusing on smoke-free families in the African American community; and a campaign to create smoke-free churches and temples in the Asian and Pacific Islander communities.

Due to funding decreases in recent years, there has been a reduction in the amount of local level competitive grantees that serve priority populations. Because funding for new competitive grantees still remains uncertain, CDHS/TCS seeks to improve the capacity of currently funded projects to serve priority population groups with appropriate tobacco control interventions and advance major advocacy campaigns targeting priority populations. Additionally, improved surveillance has provided data that demonstrates the need to expand services for high priority populations beyond racial/ethnic groups. Funding the California Partnerships for Priority Populations projects allows for the current statewide project infrastructure to remain in place, while still providing CDHS/TCS and its funded projects with the necessary resources, technical assistance, and training essential to continued work within priority population communities. It is with this approach that CDHS/TCS anticipates there will be new opportunities for conducting collaboration and coordination among all of the funded projects to create a more unified approach.

D. Addressing Tobacco Control Needs for California's Priority Populations

California has experienced numerous successes and has become a leader in tobacco control. However, many diverse communities within California still experience an unfair burden brought on by disparities in tobacco use. These disparities exist within a variety of populations, including California's four major ethnic groups (African Americans, American Indians, Asian and Pacific Islanders, and Hispanic/Latinos), LGBT, Low SES, and Labor.

While these communities face numerous challenges in reducing tobacco-related morbidity and mortality, the tobacco industry continues to target them through extensive promotion, advertising and sponsorship campaigns. The close association of tobacco with significant events and rituals in many ethnic communities and the tobacco industry's long history of providing economic support to priority populations creates a challenge to implementing tobacco prevention and control efforts.

California is unique in many ways. According to the 2000 Census, nationally the four major ethnic populations (African Americans, American Indians, Asian and Pacific Islanders, and Hispanic/Latinos) represent 29.4 percent of the United States (U.S.) population. In California, the same population groups represent more than 50

percent of the state's population. Additional Census estimates reveal the following about California's diverse population:

- 39.5 percent speak a language other than English at home.
- 26.2 percent are foreign born.
- 14.2 percent of individuals and 10.6 percent of families live below the poverty level.
- 76.8 percent are high school graduates.
- 92,138 same-sex households exist in California (97 percent in urban settings). Estimates project approximately 350,000-400,000 gays and lesbians live in California.

The following highlights from U.S. and California studies demonstrate the need for effective tobacco control efforts to reach priority population groups in California.

American Indian:

- According to a 2001 survey, American Indians have the highest adult smoking prevalence rate of any ethnic group in California at 30.3 percent. In fact, American Indian smoking prevalence is nearly twice the general California smoking prevalence at 16.9 percent.
- In 2001, California American Indian women had over twice the smoking prevalence rate of other California female smokers (31.5 percent and 14.1 percent, respectively).
- In an independent study that examined data from 1996, 1998, and 2000 among Native American 10th graders in California, researchers found they were 32 percent more likely than non-Native Americans to have smoked in the past 30 days.
- American Indian youth tend to initiate smokeless tobacco use at an earlier age and at higher levels than the remainder of the U.S. population. A study of U.S. Indian Health Service sites in six cities found the rate of current smokeless tobacco use among 6th grade American Indian students (28.1 percent) to be higher than other racial/ethnic groups (3.3 percent).

African American:

- The percentage of African American adults in California who smoke has declined from 26.7 percent in 1990 to 20.8 percent in 2002, yet remains higher than the overall rate for California adults, which was 16.6 percent in 2002.
- In a 2002 survey, African American males had a smoking rate of 23.9 percent, higher than Asian and Pacific Islanders, Latino, and non-Hispanic whites at 18 percent, 18.8 percent, and 18.7 percent respectively.
- Among African American females in California, the smoking prevalence in 2002 was 18.1 percent, which is slightly higher than the rate for non-Hispanic white females at 15 percent.
- In 1999, the age-adjusted lung and bronchus cancer death rate for African Americans in California was 66.1 per 100,000 population, while the death rate for non-Hispanic whites was 52.9.

- According to a 1998 national study, approximately three of every four African American smokers prefer menthol cigarettes. Among whites, approximately one quarter of smokers prefer menthol cigarettes. Menthol may facilitate absorption of harmful cigarette smoke constituents.

Asian and Pacific Islander:

- In 2002, Asian American and Pacific Islander men smoke at a greater rate than women, 18 percent to 6.8 percent respectively in 2002.
- In 1999, among Asian sub-populations in California, Koreans had the highest smoking prevalence rate at 21.6 percent. Japanese, Chinese, and Filipino smoking rates were 14.2 percent, 12.1 percent, and 13.4 percent, respectively.
- Women, especially Chinese, Filipino, and Korean; who speak English at home, are significantly more likely to smoke cigarettes than are those who speak their native languages at home. This trend was not observed among men. Language spoken in the home partly reflects the extent of acculturation.

Hispanic/Latino:

- In 2002, smoking prevalence for Hispanic/Latino males in California was 18.8 percent. This is nearly 2.5 times the rate for Hispanic/Latina women at 7.2 percent.
- California Hispanic/Latina women who speak English at home are significantly more likely to smoke cigarettes than are those who speak their native language at home. This trend was not observed among men. Languages spoken in the home partly reflect the extent of acculturation.
- A study in eight U.S. cities in 1993-1994 found smoking prevalence to differ by country of origin. Smoking prevalence was highest among Hispanic/Latino men of Puerto Rican origin (27.6 percent), followed by Mexican Americans (25 percent), Cuban Americans (24.7 percent), Central Americans (23 percent), and South Americans (23 percent). For women, smoking prevalence was highest among Puerto Rican women (24.2 percent) followed by South American (15.8 percent), Cuban American (12.4 percent), Mexican American (10.4 percent), and Central American (10.1 percent) women.
- In 2001, Philip Morris spent \$25 million and ranked 10th among the Top 60 U.S. advertisers in the Hispanic market.

LGBT:

- In a 2001 survey, the prevalence of smoking among 18 to 65 year old lesbian, gay, and bisexual individuals was 27.6 percent, compared to 18.1 percent of all other Californians in the same age group. Further breakdown indicates 33.2 percent of gay men smoked, 55.9 percent more than all other California men 18 to 65 years old; 25.3 percent of lesbians smoked, 67.5 percent more than all other California women 18 to 65 years old.
- The same survey reveals that the combined prevalence of gays and lesbians was 30.8 percent.
- Nationwide, 36 percent of adults 18 and over who identified themselves as LGBT reported in 2001 that they smoked cigarettes, compared to 25 percent of all adults.
- In a 2001 study of LGBT smokers, 98 percent believed smoking increases their risk of lung cancer and heart disease, yet, only 75 percent have attempted to quit, compared to 80 percent of all adult smokers.
- A review of four studies of young people aged 13 to 21 strongly suggest the prevalence of smoking may be higher among adolescent lesbians and gay males than in the general population.

Low SES:

- The smoking prevalence rate for non-Hispanic whites in California with low income and education levels was 30 percent in 2002. In comparison, non-Hispanic whites with middle and high income and education levels have smoking rates of 17.7 percent and 8.5 percent respectively.
- A 2002 survey of California adults revealed significant increases in smoking prevalence rates for all ethnic groups that had low income and low education levels when compared to those with middle to high income and education levels.
- Male smoking prevalence rates in California remains high among those with low income and low education for all ethnic groups. In 2002, non-Hispanic whites had a rate of 34.1 percent followed by 28.6 percent for African American, 29.4 percent for Asian and Pacific Islanders, and 20.9 percent for Latinos.
- In 2002, female smoking prevalence rates among African Americans and non-Hispanic whites with low income and low education in California revealed rates of 26.5 percent and 22.9 percent respectively.

Labor:

- In 1997, blue-collar workers were 75 percent more likely to smoke cigarettes than white-collar workers.
- A study that reviewed U.S. data from 1988-94 found that the prevalence of smoking by occupation was highest among transportation and material moving occupations, waiters and waitresses, and construction laborers.
- A 1999 U.S. study determined that smoking quit rates among blue-collar workers is about one half the quit rate of white-collar workers.
- In comparison with other workers, blue-collar workers reported lower rates for pressure to quit, social support for quitting, and nonacceptability of smoking among their coworkers, according to a 2002 report.

E. California's TCP Priorities

The California TCP has four broad program priorities. These four priorities and the rationale for them are discussed below:

1. Counter Pro-Tobacco Influences in the Community

Tobacco industry advertising and promotions are major social and economic forces aimed at promoting tobacco use. While the 1998 Master Settlement Agreement (MSA) with the tobacco companies mandated changes in the behavior of the industry, including specific prohibitions against advertising and promotional strategies that target youth, eliminating tobacco industry influence in local communities remains one of the highest priorities for California's TCP. The tobacco industry continues to maintain massive expenditures on advertising and promotion campaigns. As a result, Californians are exposed to saturation levels of media, which both stimulate adult consumption of cigarettes and increase the risk of youth initiation. Tobacco companies sponsor and strategically target specific community events, such as rodeos, festivals, concerts, and ethnic-specific cultural events to create the perception that the use of tobacco is condoned by those events and is glamorous, social, and normal. In addition, the motion picture industry has increasingly dramatized the use of tobacco in movies, thus aiding in recruiting thousands of new adolescent smokers.

Counter-marketing strategies can have a powerful influence on public support for tobacco control and set a supportive climate for community and school-based efforts. Counter-marketing activities can promote smoking cessation and decrease the likelihood of initiation. Counter-marketing consists of a wide range of efforts, including paid television, radio, billboards and print ads. Media advocacy and other public relations techniques include press releases, local tobacco-free events, and health promotion activities, as well as efforts to reduce or replace tobacco industry sponsorship and promotions. Research on counter-marketing suggests that successful media interventions must have sufficient reach, frequency, and duration.

Countering pro-tobacco influence strategies include:

- Educating the public and high-risk groups.
- Developing interventions to weed out the harmful tobacco industry presence in California's communities, including racial and ethnic groups, LGBT, and low SES groups.
- Tracking and reporting tobacco industry MSA violations.
- Enacting local policies to reduce exposure to tobacco advertising and promotions.
- Creating alternative sponsorship opportunities.
- Countering efforts to block or weaken regulation of tobacco or existing tobacco control policies.
- Passing local resolutions supporting smoke-free movies.

In addition, because of the increase in smoking among young adults (18 to 24 year olds), strategies are needed to impact this population and counter tobacco industry tactics that position tobacco use as “edgy” and “cool.”

See the Communities of Excellence Needs Assessment Guide (November 2003), pages 13-18, for specific indicators within this priority area. Refer to the CDHS/TCS website to download a copy of the guide.

2. Reduce Exposure to Secondhand Smoke (SHS) and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and Communities

The risks of tobacco use extend beyond the actual user. Exposure to SHS increases nonsmokers’ risk for lung cancer and heart disease. Among children, SHS is also associated with serious respiratory problems, including asthma, pneumonia and bronchitis, sudden infant death syndrome, and low birth weight. Protecting California workers and the public from the effects of SHS and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority for California's TCP.

In 1994, the California State Legislature enacted the Smoke-Free Workplace Act, AB 13 (Labor Code (LC) Section 6404.5). This law prohibited smoking in most enclosed worksites with limited exemptions. January 1, 1998, ushered in the second phase of LC Section 6404.5, which extended the no smoking policy to bars, taverns, and gaming clubs. Education was provided by all Prop 99-funded agencies to employers, employees, and the public about the health effects of SHS and the need for restrictions. These efforts continue to build support for the restrictions and increase compliance with the law. Continued enforcement activities, including reporting violations of clean indoor air ordinances and laws and prompt investigation, along with a graduated series of civil warnings and penalties, also remain critical to the continued success of LC Section 6404.5.

The health of nonsmokers is protected by the enforcement of public and private policies that reduce or eliminate exposure to SHS. Studies have shown that enforcement of worksite smoking bans protects nonsmokers and decreases the number of cigarettes that employees smoke during the workday. This cause and effect relationship has been substantiated on a large scale by the California experience in the overall decline in tobacco consumption and smoking prevalence. Since 1988, per capita cigarette consumption has declined 60 percent in California. The average daily cigarette consumption reported by everyday smokers was 15.1 cigarettes per day in 2002, a 16 percent decline from 1994. The proportion of current smokers who are considered light or non-daily smokers has steadily increased in California.

Additionally, the importance of addressing workplaces not covered through AB 13, such as work sites with under five employees, American Indian casinos, motel lobbies, and apartment units in California is critical. Several American

Indian-owned worksites in California, including casinos, are beginning to establish smoke-free policies, but much work still remains to be done to protect workers.

Since state and local laws cover most smoke-free indoor areas, outdoor smoke-free areas are the next wave of tobacco control in California. Public polling has consistently shown strong support for smoke-free outdoor areas including entertainment venues, doorways, and parks.

In 2001, AB 188 (H&S Code Section 104495) was signed into law, establishing smoke-free playgrounds and tot lots. In 2002, the law was extended to smoke-free boundaries within 25 feet of playgrounds (AB 1867). On January 1, 2004, another law protecting Californians took effect. AB 846 (Government Code Sections 7596-7598) prohibits smoking within 20 feet of doorways in buildings owned or leased by the state, counties, and municipalities. This includes the UC and California State University (CSU) campuses, as well as community colleges. These bills may not have become law if it were not for the commitment of TCPs who first passed similar policies at the local level.

See Communities of Excellence Needs Assessment Guide (November 2003), pages 19-22, for specific indicators addressing this priority area.

3. Reduce Availability of Tobacco Products

Almost all adult tobacco users reported having begun smoking before they became adults and were legally able to purchase tobacco. In fact, tobacco uptake follows a predictable pattern that begins with experimentation by pre-teens, progressing to intermittent use around 13 to 14 years old, then regular use at 15 to 16 years old, to becoming an addicted smoker around 16 to 18 years of age. According to the 2002 California Tobacco Survey, less than 5 percent of experimenters report their usual source of cigarettes through purchasing themselves; however, over 34 percent of established daily teen smokers reported purchasing cigarettes as their usual source of cigarettes. Younger youth frequently obtain cigarettes from older youth that can buy cigarettes. Eliminating tobacco sales to teens will help interrupt and break the chain of progressive addiction, in which a youth progresses from experimenting with tobacco to becoming an addicted smoker.

The California experience shows that the combination of enforcing laws that restrict tobacco sales to minors, educating merchants about the penalties for violating the Stop Tobacco Access to Kids Enforcement (STAKE) Act and Penal Code (PC) Section 308(a), and frequent, unannounced retailer compliance checks can reduce illegal sales of tobacco products to minors. Overall, California has seen a significant drop in the rate of illegal tobacco sales, down from 52.1 percent in 1994 to 12.2 percent in 2003. Despite this drop, more work remains to be done. Continued interventions are needed to monitor and control the

situation. Certain types of stores continue to sell tobacco at high rates. In 2003, deli, meat, and produce markets sold to minors 26.7 percent of the time, while pharmacies, donut shops, and discount “dollar” stores sold tobacco to minors 19.9 percent of the time. Local communities frequently report higher rates.

Efforts to prevent youth access to tobacco, such as STAKE Act and PC Section 308(a) enforcement, must continue at a level that maintains California’s compliance with federal law (Synar Amendment). The Synar Amendment requires states to achieve and maintain an illegal tobacco sales rate to minors of no more than 20 percent. The Healthy People 2010 objective seeks to reduce illegal tobacco sales to minors to no more than 5 percent.

Furthermore, tobacco retailers are required to post STAKE Act signs at each point of sale. A 2003 study showed that stores with STAKE Act signage sold tobacco to minors 8.1 percent of the time, while stores without STAKE Act signage sold 17.4 percent of the time. Continued monitoring of STAKE Act signage remains an important activity, as nearly half of California’s retailers (49.2 percent) do not have the STAKE Act warning signs posted (*2003 Youth Tobacco Purchase Survey*).

In June 2003, Governor Davis issued Executive Order D-68-03 to: 1) promote more collaboration between state agencies; 2) increase retailer inspections; 3) increase the presence of STAKE Act signage; 4) increase enforcement; and, 5) increase penalties to retailers who do not post STAKE Act signs and sell tobacco to minors.

California’s counties and cities have experienced an increase in the passage of self-service display bans. In addition, Governor Davis signed SB 757 in 2001, adding Section 22962 to the Business and Professions (B&P) Code, to prohibit the sale of cigarettes through a self-service display. This law, however, does not apply to tobacco products other than cigarettes. The elimination of self-service displays in stores tends to decrease adult impulse purchases, illegal sales of tobacco to minors, and youth theft.

PC Section 308(a) had two amendments added in 2002. One amendment prohibits the sale of bidis except in stores where only adults are allowed legally. Bidis are hand-rolled filterless cigarettes that are imported from India and some Southeast Asian countries. Another adds a minimum pack size, which prohibits cigarettes from being manufactured, distributed, sold, or offered for sale in packages of less than 20.

AB 71 was signed by Governor Davis in October 2003, which added B&P Code Sections 22970-22995, and created the California Cigarette and Tobacco Products Licensing Act of 2003. The Act requires that all tobacco retailers, wholesalers, distributors, cigarette manufacturers, and cigarette importers be licensed in California. The primary purpose of the licensing program is to reduce

the amount of excise and sales taxes lost to counterfeit and smuggled cigarettes. The licensing program also contains provisions that address the illegal sales of tobacco to minors that only go into effect when the statewide youth purchase survey (YPS) rate is 13 percent or higher. The licensing program sunsets in 2010 and is not preemptive.

CDHS/TCS contractors can further reduce the availability of tobacco products through stronger local policies. For example, a local tobacco retail licensing policy does not have to use a provision similar to AB 71, where licenses can only be suspended or revoked if the YPS rate is 13 percent or higher. Local tobacco retail licensing provides the municipality or other government entities the authority to suspend or revoke the license of those retailers who violate tobacco control laws. Additionally, passing conditional use permits can limit the location and number of retailers who sell tobacco in a specific jurisdiction.

See the Communities of Excellence Needs Assessment Guide (November 2003), pages 23-25, for specific indicators addressing this priority area.

See Piecing It Together: Tobacco Laws Affecting California (February 2003) by the Technical Assistance Legal Center (TALC) for an excellent overview of all laws governing tobacco in California.

4. Promote Availability of Cessation Services (optional)

Smoking cessation is the desired outcome of all initiatives and activities of California's TCP that create new social norms around the use of tobacco. Since social norms have shifted from the acceptability of smoking, and cigarette prices have risen substantially, more smokers than ever are trying to quit. More than three out of every four California smokers say they would like to stop smoking.

Past experience demonstrates that the media campaign, coupled with the California's Smokers' Helpline and supported at the community level by cessation programs, successfully assist youth and adult smokers in quitting. Smoking cessation is a complex and often-extended process with several repeated quit attempts until success is achieved. As social norms shift away from its acceptability and more smokers become aware of health issues related to smoking, the level of motivation to quit across the entire population of smokers increases, and motivation by smokers to quit on their own increases. As such, cessation becomes the outcome rather than the intervention. However, there is a downside. Some smokers may switch to smokeless tobacco or "harm reduction" products to avoid the social negative stigma of being a smoker or to avoid exposing others to SHS. They may be misled into believing that such products may reduce risk of disease, when in reality, there are no safe tobacco/nicotine products.

While recognizing that in California, the majority of former smokers report quitting

without direct cessation services, CDHS/TCS will continue to fund some direct cessation. CDHS/TCS contractors are encouraged to publicize the availability of the California Smokers' Helpline, which offers counseling in English, Spanish, Vietnamese, Korean, Mandarin and Cantonese, and has tailored services for chew tobacco users, hearing impaired, youth, and pregnant women. Also, many CDHS/TCS contractors provide direct cessation services at no cost or for a nominal fee.

In addition to providing direct tobacco cessation services, CDHS/TCS contractors can also promote system changes that support population-based cessation services, such as introducing cessation in large managed care plans, coordinating with low income clinics that serve priority populations, providing physicians, nurses, dentists, and dental hygienists with training to establish systematized patient education and treatment programs in private offices and clinics, cooperating with the American Cancer Society to sponsor the local Great American Smokeout, etc.

See the Communities of Excellence Needs Assessment Guide (November 2003), pages 26-27, for specific indicators for this priority area.

F. CDHS/TCS Program Components

The scope of the health education campaign launched by CDHS/TCS is addressed in H&S Code, Part 3, Chapter 1, commencing with Section 104350. These statutes authorize CDHS/TCS to fund a variety of innovative approaches to reduce tobacco use. These approaches include funding for local health departments, competitively selected community agencies, a statewide media campaign, and an extensive evaluation of the entire tobacco control program. These programs are described on the next two pages.

- **Local Health Departments:** All of California's 58 county and three city health departments are funded as "LLAs". Considered the lead tobacco control agency at the local level, each LLA is funded to implement comprehensive programs in their area. LLAs involve community coalitions in developing strategic community actions to combat tobacco use in their jurisdiction and conduct a wide range of education, information, policy, prevention, and cessation activities.
- **Community-Based Grants:** Approximately 56 community-based agencies are funded to implement programs designed to reach local ethnic populations, youth in the community, or other specified groups. Many others focus on topic areas, such as chew/dip, cigars, tobacco sponsorship, or tobacco advertising. Innovative strategies are used to reach their respective target populations and to address their specific issues.
- **Statewide Grants:** CDHS/TCS funds several statewide grants, which are defined as CDHS/TCS-funded projects designed to have a statewide impact to provide technical assistance and/or services on a statewide basis. Statewide grants

offering assistance to CDHS/TCS-funded projects are the Tobacco Education Clearinghouse of California (TECC), California Smokers' Helpline, Technical Assistance Legal Center (TALC), The Center for Tobacco Policy and Organizing, California Youth Advocacy Network (CYAN), Council for Responsible Public Investment (CRPI), and The California Smoke-free Bars, Workplaces and Communities Program (BREATH). Currently, the four Ethnic-Specific Tobacco Education Networks and the State Building and Construction Trades Program (BUILT) fall within this category, but will end on June 30, 2004.

- **Statewide Media Campaign:** The statewide media campaign consists of both advertising and public relations campaigns, including linguistically and culturally relevant ethnic-specific campaigns. The statewide media campaign utilizes hard-hitting paid advertising and public service announcements (television, radio, billboards, transit, and print) with thought provoking messages to effectively communicate the dangers of tobacco use, SHS, and the tobacco industry's manipulative marketing ploys, throughout California's general population and its ethnically diverse communities. The public relations portion of the statewide media campaign includes communications planning and implementation, media relations and advocacy, technical assistance to local programs, grassroots coalition building, promotional event development, news conference coordination, media alerts and press releases, and branding and image development.
- **Data Analysis and Evaluation:** This component of the tobacco control effort tracks adult and youth tobacco use prevalence by conducting year-round telephone surveys. These surveys also provide information about public opinion and knowledge related to tobacco use, which enables the other tobacco control components to more appropriately target their education and media outreach. Additionally, both in-house and independent evaluations of all tobacco control components are conducted to monitor progress toward reaching program goals and objectives, and to determine which strategies are most effective in reducing tobacco use. Epidemiological studies that identify adult tobacco use behavior, knowledge and attitudes among special populations in California are also included in this component and include the following: military, Asian Indian, Korean, Chinese, and LGBT.

II. GENERAL GRANT APPLICATION INFORMATION

A. Who May Apply

1. California public or private non-profit organizations are eligible to apply for these funds. For applicants claiming private non-profit status, **either** certification from the State of California, Office of Secretary of State, **or** a letter from the Department of the Treasury, Internal Revenue Service (IRS), classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. The certification application and a sample letter are provided in Appendix A and B.
2. As referenced in H&S Code Section 104440 “LLAs shall be ineligible for awards under the competitive grants program, unless the LLA is a participant within a consortium of community-based organizations or nonprofit organizations.” A consortium application must be composed of two or more organizations.
3. State of California agencies, other than state universities and colleges, are not eligible for these funds.
4. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, during the term of the grant, is not eligible for funding under this RFA. Agency certification to this effect is required on Attachment 10. See Appendix C for a partial list of tobacco company subsidiaries.

With regard to universities and colleges, any Principal Investigator who within the last five years from the start date of the grant period, or during the term of the grant, receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, is not eligible for funding under this RFA. The Principal Investigator's certification is required on Attachment 10. See Appendix C for a partial list of tobacco company subsidiaries.

B. Grant Period and Funding Levels

1. Approximately \$5 million from fiscal year (FY) 2004-05 monies are expected to be available for this RFA. Award amounts are contingent upon the use of multiyear spending authority and available revenues. Funding from (FY) 2004-05 and any subsequent FY is contingent upon available revenues and appropriation by the Legislature and the Governor.
2. Awards are expected to range from \$200,000 - \$400,000 per year for the grant period beginning July 1, 2004, and ending June 30, 2007. **Applications must be for the entire 36-month period.**

3. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. CDHS/TCS waiver of any immaterial deviation(s) shall not excuse an application from full compliance with the contract terms if a contract is awarded. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.
4. CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work (SOW), Budget, Budget Justification, and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.
5. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.
6. CDHS/TCS reserves the right to withdraw any award or negotiate the SOW of any proposed projects or proposed project components.
7. The awardee certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this grant for the acquisition, operation, or maintenance of computer software in violation of copyright laws.
8. CDHS/TCS will send to each awardee, along with the official award notification, a copy of the grant language. Changes to this language will not be negotiated at any time during the negotiation process.

C. Application Submission Requirements

1. Letter of Intent

For the purpose of planning the RFA review process, all prospective applicants must submit a letter notifying CDHS/TCS of its intent to submit an application. This letter is not binding and those submitting a letter may elect not to submit an application. **One (1) signed letter of intent is due in the CDHS/TCS office no later than 5 p.m. on Friday, February 27, 2004.** The letter of intent must be submitted on the applicant's letterhead, signed by an officer of the board or their agent, and state the following: the name and number of RFA under which the application will be submitted, the estimated budget request, and the priority population to be served.

E-Mail documents will not be accepted. Mail or fax the letter of intent to:

Attention: Josie Powers
California Department of Health Services
Tobacco Control Section
P.O. Box 997413, MS 7206, Suite 74.516
Sacramento, CA 95899-7413
FAX (916) 449-5517

Clearly indicate on the outside of the mailing envelope or FAX transmittal sheet "California Partnerships for Priority Populations, RFA TCS 04-100".

2. Application

NOTE: All applicants agree in submitting an application, that CDHS/TCS is authorized to verify any and all claimed information. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection process.

Submit one signed original (clearly marked "original"), six (6) copies of the entire application, and six (6) additional copies of the Narrative and SOW Summary (refer to Section IV, Application Requirements and Instructions). Clearly indicate "**California Partnerships for Priority Populations, RFA TCS 04-100**" on the outside of the mailing envelope.

Applications are due in the CDHS/TCS office no later than 5 p.m.,
Friday, March 5, 2004.

- FAX and e-mail documents will **not** be accepted. It is the sole responsibility of the applicant to ensure that CDHS/TCS receives the required number of copies of the application by the above deadline.
- A late or an incomplete application will be considered non-responsive and will not be reviewed for funding.
- No changes, modifications, corrections, or additions may be made to the application once it is received.

Mail or deliver completed applications to CDHS/TCS:

**Regular mail
(U.S. Postal Service):**

Attention: Marj Rogers
Department of Health Services
Tobacco Control Section
P.O. Box 997413, MS 7206, Suite 74.516
Sacramento, CA 95899-7413

**For hand or overnight delivery
(UPS or FedEx):**

Attention: Marj Rogers
Department of Health Services
Tobacco Control Section
1616 Capitol Avenue, MS 7206,
Suite 74.516
Sacramento, CA 95814

CDHS/TCS Phone Number:
(916) 449-5500

*** See Website for directions to TCS. ***
www.dhs.ca.gov/tobacco

3. RFA Information Meeting

An RFA Information Meeting is scheduled for the purpose of answering questions directly related to the RFA requirements. Technical assistance regarding programmatic content will not be available at the Information Meeting or by phone.

Date: February 20, 2004
Time: 9:00 a.m. to 12:00 p.m.
Location: Building 172, Room A and B
1500 Capitol Avenue
Sacramento, CA 95814

D. Application Review Process

1. Review for Compliance with Mandatory RFA Requirements

Applications will be date and time stamped upon receipt at CDHS/TCS. Each application received at CDHS/TCS by **5:00 p.m. on March 5, 2004**, will be reviewed for compliance with the requirements provided in this document. Applications that do not comply with the requirements will be considered non-responsive and will be excluded from the review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejecting of the application prior to the review. CDHS/TCS may waive any immaterial deviation in any application; however, this waiver shall not excuse an application from full compliance with the contract terms if a contract is awarded. **LATE, INCOMPLETE, OR NON-COMPLIANT APPLICATIONS WILL BE REJECTED.**

2. Application Review

Each application that complies with the mandatory requirements will be evaluated and scored by a peer review committee on a scale of 0 to 100 points. The review committee may include representatives from voluntary health organizations, government agencies, public and private non-profit organizations, and state colleges and universities.

Applications receiving a score of 75 points or more will be considered for funding; however, due to potential funding limitations, there is no guarantee that scoring 75 or above will result in funding or funding at the level requested.

The maximum point value of each section is as follows:

Narrative and SOW Summary	15 points
Coordination	10 points
Applicant Capability	15 points
SOW and Evaluation	40 points
Budget and Budget Justification	<u>20 points</u>
	100 points

3. Notification of Decision

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request to CDHS/TCS, their consensus review tool summary page which provides the score and overall strengths and weaknesses of their application.

4. Contract Negotiation

Following the award notification, contract negotiations will occur with the potential contractor in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed SOW, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work will commence.

E. Appeals Process

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. There is NO appeal process for applications that are submitted late or that are submitted incomplete. Applicants may not appeal based on their funding level. Appeal letters based on the final application selection must be received **no later than 5 p.m. on April 14, 2004, at the address indicated below**. E-mail transmitted documents WILL NOT BE ACCEPTED. Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA.

The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief or Designee
Department of Health Services
Division of Chronic Disease and Injury Control
P. O. Box 997413, MS 7200, Suite 74.660
Sacramento, CA 95899-7413
Fax (916) 449-5707

At his sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee, may hold an appeal hearing with each appellant and then come to a decision. That decision can be based on either the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within fifteen (15) working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

F. Tentative Timelines

February 6, 2004	Release of RFA
February 20, 2004	Information Meeting 9 a.m. – 12 p.m., Sacramento
February 27, 2004	Letters of Intent due to CDHS/TCS no later than 5 p.m.
March 5, 2004	Applications due to CDHS/TCS no later than 5 p.m.
April 6, 2004	Award decisions announced
April 14, 2004	Appeals due to CDHS/TCS no later than 5 p.m.
April 19, 2004 and April 20, 2004	Appeal Hearings
April 23, 2004	Contract Negotiations begin
July 1, 2004	Contract period begins
June 30, 2007	Contract period ends

III. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

Agencies applying for these funds must have the administrative ability to manage state grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that the prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a grant amendment depending on what in the budget needs to be changed. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision or grant amendment.
2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect, and operating expenses prior to reimbursement by the State. Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.
3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the SOW or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the SOW. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the SOW, the grantee must contact CDHS/TCS to discuss the issue and request a SOW revision or contract amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**
4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.
5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

6. Grantees are to maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents; payroll records, including signed timesheets, etc., following standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.
7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.
8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing \$5,000 or more. Three (3) competitive bids are required as well as other documentation of the bid process. This information along with the proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.
9. Grantees are to have a procedure designating a person within their agency or organization that may sign payroll time sheets, requisitions, and invoices.
10. Grantees are to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.
11. Grantees are to have sufficient personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months using the forms and format provided by CDHS/TCS.
12. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.
13. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all works created, produced, or developed under a grant funded from this RFA, whether published or unpublished. Appendix E contains the specific language that will be incorporated into the boilerplate language of the grant funded by CDHS/TCS. If successful in your RFA, you must comply with the copyright and ownership of materials language. Review Appendix E carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.

14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS. Refer to Appendix J.
15. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well as to fulfill payroll, accounting and administrative procedures.
16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as any apparent non-compliance with contract requirements.

IV. APPLICATION REQUIREMENTS AND INSTRUCTIONS

A. General Requirements

1. Policy Section

The SOW and Budget is to be consistent with the policies and procedures found in the Policy Section of the *Competitive Grantee Administrative and Policy Manual* herein referred to as the Policy Section. The Policy Section is posted on the CDHS/TCS website at: www.dhs.ca.gov/tobacco. As you develop your SOW and Budget, please review the Policy Section and pay particular attention to those policies addressing incentives, promotional items, sponsorship, and lobbying.

2. **READ ALL INSTRUCTIONS CAREFULLY.** Be sure to include all of the information required in this RFA, including all attachments and copies. Re-check the application to ensure completeness.

3. **DO NOT ASSUME** the reviewers have prior knowledge of the past history of the applicant agency or previous TCPs administered by the agency. The responsibility is on the applicant to demonstrate an understanding of the services to be delivered under the intended contract, the capacity of the applicant agency to carry out the services, and the ability to design and carry out efficient services that are reasonably budgeted.

4. **DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED.** Any materials submitted that are not requested under this RFA will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations.

5. Number each page of the application consecutively.

6. The type font size is to be no less than 12 characters per inch.

7. Folders and binders are **not** desired and will be discarded; securely staple the application in the upper left corner.

8. Attachments 1, 4, 6, 7, and 8 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application. **Allow enough time to obtain these required signatures.**

9. Clearly indicate California Partnerships for Priority Populations RFA TCS 04-100" on the outside of the mailing envelope.

B. Organization of the Application

Present the components of the RFA in the order listed below using the instructions provided on subsequent pages to complete each area.

- 1. Application Cover Sheet (Attachment 1)
- 2. Application Checklist Form (Attachment 2)
- 3. Table of Contents (Attachment 3)
- 4. Narrative and Scope of Work Summary (No Attachment, 10-page maximum for a. and b.)
 - a. Narrative
 - b. Scope of Work Summary
- 5. Coordination
 - a. Communication and Collaboration (2-page maximum)
 - b. Acknowledgement of Communication with CDHS/TCS-Funded Projects Form (Attachment 4)
 - c. Letter from the Evaluation Consultant
- 6. Applicant Capability (No Attachment, 10-page maximum, not including b and d.)
 - a. Program Experience
 - b. Evaluation Experience
 - c. Administrative/Fiscal Experience
 - d. Equipment
 - e. Letters of Reference
- 7. Scope of Work (Attachment 5)
- 8. Budget Justification (No Attachment)
- 9. Additional Required Forms
 - a. Drug-Free Workplace Certification (Attachment 6)
 - b. Agency Documentation Requirements (Attachment 7)
 - c. Proof of Non-Profit Status (No Attachment)
 - d. Certification of Non-Acceptance of Tobacco Funds (Attachment 8)

NOTE: ➤ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

C. Application Criteria and Instructions

1. Application Cover Sheet (Attachment 1)

Item 1: Enter the legal name of the applicant. Fill in the project name. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the county in which the applicant's headquarters is located.

Item 2: Enter the grant term, July 1, 2004 to June 30, 2007.

- Item 3: Enter the Budget amount requested for the entire grant term.
- Item 4: Indicate “Statewide” in the location/geographic coverage of the project area.
- Item 5: Check the Priority Population group addressed by the application.
- Item 6: The applicant official authorized by the agency to sign on behalf of the agency must sign and date the certification statement provided. Also type the name and title of this official.

2. Application Checklist Form (Attachment 2)

The items included on the checklist are **required** to be submitted as part of the application and should be presented in the order noted on this form. If any items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and **will not** be reviewed. Complete the attached application checklist form to ensure that all application attachments and required components are included.

As a reminder, please submit six (6) additional copies of the Narrative and SOW Summary in addition to the required number of full applications.

3. Table of Contents (Attachment 3)

Applications must have a Table of Contents with page number referenced. Application sections must be presented in the sequence shown on the Application Checklist (Attachment 2).

4. Narrative and Scope of Work Summary = 10 POINTS

(No attachment provided, 10 page maximum)

Criteria:

Funding preference will be given to those applicants that most closely address the criterion below:

- Includes relevant demographic, geographic, and political/cultural characteristics of the chosen priority population group that extends beyond the data provided in this RFA.
- Describes historical, political, economic, and socio-cultural influences that will facilitate or challenge implementation of the project.
- Clearly demonstrates the priority population’s needs with respect to the tobacco control interventions proposed by using relevant data sources, such as needs assessments, asset mapping, key informant interviews, public surveys, and focus group data.

- Clearly summarizes objectives and specifies outcomes to result from interventions.
- Includes a strong rationale for the interventions chosen that reflects the current literature and empirical data.
- Provides reasonable, realistic, and appropriate evaluation plans for each objective.

Instructions:

Follow the instructions for completing both a. and b. Both sections (Narrative and Scope of Work Summary) combined must not exceed 10 pages in length.

a. Narrative

For this section, “bring to life” the tobacco issues and experiences facing your chosen priority population group. Discuss and describe the unique aspects of your target community/group.

Prepare a Narrative summary that provides the following information:

- Describe the demographic, geographic, and political/cultural characteristics of your chosen priority population group.
- Describe the historical, political, economic and socio-cultural influences that will facilitate or challenge the implementation of the proposed project.
- Describe the target population(s) to be served, utilizing relevant data to describe the group needs with respect to tobacco control issues in the community. It is important to clearly demonstrate the populations’ need for the proposed tobacco control interventions by citing scientific findings specific to that population that justify the importance of the proposed activities. Information provided from local needs assessments, asset mapping activities, key informant interviews, public surveys, and focus group data are highly desirable.

b. Scope of Work Summary

The Scope of Work Summary is an outline of what you will include in your Scope of Work. Follow the summary instructions as appropriate for each objective included in the Scope of Work.

Include the following details for each objective that addresses **Required Component 1: Provide Technical Assistance and Training to Local Programs** and **Required Component 3: Provide Support to CDHS/TCS**:

- State the complete objective, component, and the Communities of Excellence (CX) asset.
- Provide a brief overview of the proposed interventions.
- Describe the process evaluation methods used to determine satisfaction of service delivery.

Include the following details for each objective that addresses **Required Component 2: Advocacy Campaign** and **Optional Component 4: Cessation**:

- State the complete objective, component, and CX indicator.
- Provide an overview of the chosen interventions and the expected outcomes to result from the interventions.
- Provide the rationale for the chosen interventions. Explain why you selected the strategies and approaches and why you think they are appropriate and will be successful within the target population. Include use of any current literature and empirical data that helped guide you to make decisions on the chosen interventions.
- Describe the evaluation design and methodology. Include what will be measured and how you will determine the extent to which the objective was achieved.

5. Coordination = 10 POINTS

Criteria:

Funding preference will be given to those applicants that most closely address the criterion below:

- Demonstrates strong communication and collaboration skills with TCS-funded projects and other tobacco control projects.
- Demonstrates proficiency in handling technical assistance requests and conducting outreach to TCS-funded projects.
- Demonstrates that adequate communication took place with relevant agencies and groups regarding the SOW activities.
- Demonstrates non-duplication and coordination with existing projects.
- Demonstrates an evaluator provided at least four hours of consultation in the development of the SOW objectives and evaluation plans.

Instructions:

Follow the instructions for completing sections a., b., and c.

a. Communication and Collaboration (2-page maximum)

In no more than 2 pages, describe the communication and collaboration methods that will be used during the project term. Include the following descriptions on how the project plans to:

- Conduct proactive outreach to the TCS-funded agencies working with your priority population group.
- Promote technical assistance services to TCS-funded projects.
- Respond to technical assistance requests in a timely fashion. Include the prioritization process for handling technical assistance requests and the documentation and follow-up of requests.
- Obtain “buy in” or consensus from the priority population impacted by the intervention activities.

- Collaborate with others working on the same or similar intervention activities.
 - Communicate and share your successes and challenges with tobacco control advocates in California and nationally.
- b. Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)

The purpose of the Acknowledgement of Communication with CDHS/TCS-Funded Projects Form is to confirm that applicants discussed their application with appropriate LLAs and other local or statewide competitive grantees to facilitate coordination and avoid duplication. Applicants must decide how they will implement the SOW and with whom they will coordinate and/or collaborate with to achieve advocacy campaign or cessation goals.

The Acknowledgement of Communication with CDHS/TCS Funded Projects Form is to be completed by each LLA, Competitive Grantee, Statewide Project, or others that are involved in the applicant's proposed advocacy campaigns and cessation efforts or by those that may be currently conducting activities similar to those proposed. Applicants should refer to the directory of CDHS/TCS Funded Projects (e.g. LLAs, Competitive Grantees) on the CDHS/TCS website: www.dhs.ca.gov/tobacco.

Applicants should discuss with those involved the similarities with existing efforts, joint activities and potential contamination of control groups. Completed forms must be included in the application. Completed forms sent separately from the application will not be reviewed. Please note, the cities of Berkeley, Long Beach, and Pasadena are also LLAs.

- c. Letter from the Evaluation Consultant

An evaluator must participate in the development of the SOW and evaluation plans. Every application must include this letter, even if the evaluator is an internal evaluator working for the applicant's agency. The letter must include the following elements:

- Describe the evaluator's role and involvement in the development of the SOW and the evaluation component.
- Provide how many hours the evaluator spent with the applicant to get the evaluation in place.

6. Applicant Capability = 15 POINTS
(No attachment, 10 page maximum)

Criteria:

Funding preference will be given to agencies that exhibit the following qualifications:

- Demonstrates at least three years previous experience conducting culturally competent policy, advocacy, media, training, community planning, and community organization strategies resulting in community norm changes. This should also include development of educational materials, media interventions and activities that are appropriate in terms of age, literacy level, and cultural sensitivity.
- Demonstrates the ability to start up and begin implementation within six weeks of the contract start date.
- Demonstrates that staff have training, skills, and experiences consistent with the program, evaluation, and fiscal and management needs of the project.
- Demonstrates that the evaluation consultant has completed: 1) at least one course in study design or one year of experience determining the study design for an evaluation; 2) one course in evaluation or one year of experience planning and implementing an evaluation; and 3) two courses in statistics or one year of experience analyzing data for an evaluation.
- Demonstrates effectiveness and capacity to provide tobacco education services and serve populations in areas with substantial unmet needs.
- Demonstrates at least two years satisfactory performance with administrative, fiscal and programmatic management of government grant funds, including timely and accurate submission of fiscal and program documentation, subcontracts and compliance with all state contract requirements.
- Demonstrates the ability to partially equip the project with office furniture, computers, printers, copy machines, etc., to support staff and program needs.
- Pursuant to H&S Code Section 104445, preference shall be given to current contractors that have demonstrated effectiveness and capacity in providing tobacco control services.

Instructions:

For the applicant capability section, address the following requirements in no more than ten pages.

a. Program Experience

- Describe the applicant's experience in conducting culturally competent policy, advocacy, media, training, education, community planning, and community organizing strategies, including educational materials development and media activities.
- Describe three successful community norm change interventions and their measurable outcomes facilitated by the agency.
- Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project. Describe how the proposed project will be integrated into the agency's organizational structure.
- Describe the agency's effectiveness and capacity to provide tobacco control interventions and serve populations in areas with substantial unmet needs.
- Describe the qualifications of key program staff. Describe their educational background and previous experience with the types of

activities to be conducted such as community organization, community planning, health education, report writing, media advocacy, policy promotion, program evaluation, etc. **Do not attach resumes.**

b. Evaluation Experience

- Describe the staff or consultant primarily responsible for designing and planning evaluation activities through the completion of the form for the Local Program Evaluators Directory. This directory is available online at: www.dhs.ca.gov/tobacco. Print the report from the directory and include the pages for the designated evaluator with the application. Note: The printed pages from the directory do not count as the ten pages in your maximum page count for this section.

c. Administrative/Fiscal Experience

- Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds. **Do not attach resumes.**
- Describe the applicant's history in the last two years managing state government grant funds. Include in the description the funding agency, the amount received, and how the grants were managed, (e.g., were the grant deliverables accomplished, progress reports, and invoices submitted timely, and were fiscal records in good standing?)
- Describe the applicant's internal audit history in the past two years. Describe the frequency of audits, date of last audit, and a summary of the major findings from the last audit.
- Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and, 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow up with references to confirm the audit history.

d. Equipment

Due to limited funds, there will be no equipment approvals for this RFA process. Therefore, agencies must have adequate equipment available for use in this proposed project.

Describe the office and computer equipment the applicant has available for use in this project. Include in the description: a) the number and type of equipment available, e.g., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.; b) whether or not the computers have modems and communications software; c) the software packages your agency uses for word processing, spreadsheets, databases, etc.; and, d) approximately when the computer equipment was purchased, and its availability for use in this project, if funded.

e. Letters of Reference

Solicit and include three (3) letters of reference and attach them immediately following the description of the equipment. Number these letters consecutively as part of the application. If the applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the references **must be** from one of these agencies. No more than three letters will be accepted.

The letters are to be on the reference agency's letterhead and must include:

- The address, telephone number, e-mail, name, and title of the letter's author.
- A description of the capacity in which the reference worked with the applicant.
- The applicant's ability to provide culturally competent interventions with the community/priority population.
- The applicant's experience in providing culturally competent policy, advocacy, media, training, community planning, and community organizing activities.
- The applicant's fiscal and administrative ability to manage government grant funds, including satisfactory performance with administering and managing government grant funds through timely and accurate submission of fiscal, program and evaluation documents.

CDHS/TCS reserves the right, at its sole discretion, to contact references for further information prior to the RFA review process.

7. **Scope of Work (SOW)**

(3 Required Components and 1 Optional Component) = 40 points

Criteria:

Funding preference will be given to those applicants that most closely address the criterion below:

- The SOW reflects a comprehensive, integrated approach and incorporates such methods as statewide coordination, community level data collection, statewide community mobilization, statewide training and community education, statewide media advocacy/paid advertising, and evaluation.
- The SOW presents well-written objectives which identify measurable outcomes expected as a result of the intervention and each objective states:
 - *When the objective is to be achieved;*
 - *Where the objective occurs;*
 - *Who or what is targeted;*
 - *What is to change as a result of the intervention; and,*
 - *How much change is to occur (or sets a minimum standard).*(Please note – Planning objectives are not permitted in the SOW.)

- Objectives are realistic in terms of their appropriateness for the population and achievable in the time period, yet not overly simple.
- Present a specific advocacy campaign to facilitate norm change focusing on significant issues in the target community (supported by data).
- Advocacy campaign is structured as a "turn-key" campaign that can easily be picked up and implemented by other CDHS/TCS contractors (e.g., LLA and Competitive Grantees).
- Culturally and linguistically appropriate strategies are used to achieve each objective.
- The magnitude and the methods used to achieve each objective are likely to be sufficient in their power to achieve the stated objectives.
- Overall, a well-organized and detailed "road map" of the project is provided which describes:
 - *How much will be done;*
 - *Where activities will occur;*
 - *What will be done (e.g., educational methods, advertising, public relations, data collection methods, incentives, promotional items, etc.);*
 - *Staff, subcontractors, or consultants responsible for the activities;*
 - *Appropriate and reasonable tracking measures; and,*
 - *An evaluation plan for each objective.*
- The SOW thoroughly addresses **each component and the sub-activities or requirements of each component.**
- The evaluation plan for each objective measures and determines the progress made toward achieving each objective in the SOW, and that each outcome achieved was the result of the intervention.
- The evaluation plan uses a design which is appropriate given the strategies, contract period, target group and language(s) of the target group.
- The evaluation plan adequately describes the following information as appropriate to each objective:
 - *The amount of expected change or what is being measured (e.g., policy, number of ads, behavior, etc.);*
 - *The instruments to collect data (e.g., retail tobacco advertising survey, Project SMART Money survey instrument, key opinion leader surveys, public intercept surveys, etc.);*
 - *How data will be collected (e.g., through the mail, by phone, in person, observation, etc.);*
 - *The location where data will be collected (e.g., homes, malls, schools, tobacco retail outlets, the name of specific communities, etc.);*
 - *How many will be measured (e.g., sample size, number of stores, number of persons, number of events, number of households, etc.);*
 - *How the sample will be selected (e.g., simple random, random clusters, purposive, convenience, etc.);*
 - *Description and quantification of process evaluation activities (e.g. focus groups, key informant interviews).*
 - *The type of analysis to be done (e.g., comparison over time or with other groups or communities; control group, case study, etc.); and,*

- *How the results will be disseminated (e.g., paper submitted for publication, PARTNERS, training, etc.).*

Instructions:

a. **Required Components and Optional Component**

Applicants must address components one through three with an option to include component four in their SOW.

Required Component 1: Provide Technical Assistance and Training to Local Programs (CX Asset 3.2 and 3.4). The Administrative Agency will provide culturally relevant, tobacco specific training, technical assistance, and educational materials for CDHS/TCS-funded projects (LLAs and competitive grants). Partnerships are required to provide training, technical assistance, and educational materials that increase the skills and capacity of CDHS/TCS-funded projects and community organizations to deliver effective and culturally appropriate tobacco control projects (e.g., delivery of culturally appropriate cessation services to African Americans, promoting smoke-free environments among Indian gaming casinos). Production and delivery of services are to be based on current needs assessment findings.

Required Activities

1) Coordination and Collaboration

- a) Partnerships will coordinate and collaborate to ensure that their perspectives are shared in CDHS/TCS workgroups and committees, LLA Coalitions, Prop. 99 Issues teleconferences, CDHS/TCS Statewide Projects' meetings, and other CDHS/TCS trainings and conferences.
- b) Communicate through the use of PARTNERS Strategy Exchange, e-mail list serves, and their own websites to advertise the Partnership's advocacy campaign, educational resources, trainings, and technical assistance services.
- c) Partnerships will coordinate and communicate with each other through every other month teleconferences to exchange ideas, provide program updates, and plan trainings.
- d) Communicate and collaborate with national networks and experts to gain information on national efforts to address priority population needs in tobacco control.

2) Training and Technical Assistance:

- a) Participate with CDHS/TCS to plan and conduct a Statewide Priority Populations Tobacco Control Training in Spring 2006.
- b) Collaborate with the Statewide Project on Community Organizing and CDHS/TCS to conduct one to three Information and Education (I&E) Visit trainings. Recruit AC members to participate in the training.

- c) Participate as a speaker in three to six CDHS/TCS sponsored trainings or conferences to highlight program activities and share priority population-specific information.
 - d) Conduct pro-active outreach to new and existing CDHS/TCS-funded projects. Within two months of the contract start date, coordinate with CDHS/TCS and other Partnerships to conduct an annual online needs assessment among CDHS/TCS-funded agencies to: a) determine educational materials, training, and technical assistance needs, and, b) evaluate satisfaction with the Partnerships' services.
 - e) Upon determination of training needs, Partnerships will hold two to three priority population specific trainings per year for CDHS/TCS funded projects. Trainings are to include a combination of teleconferences and workshops held in regional settings throughout the state.
 - f) Provide technical assistance to LLAs and competitive grantees statewide to identify the tobacco control needs of priority populations in their area and strategies to address these needs. Partnerships must work to provide assistance in identifying representatives from the priority population communities that can assist with these assessments and offer collaboration.
- 3) Materials Development
- a) Develop or revise two to three educational materials specific to the chosen priority population for use by tobacco control contractors. Identification of the materials should be based on the needs assessment conducted of TCS-funded projects. Partnerships must work in cooperation with CDHS/TCS and TECC to ensure non-duplication of materials, develop production timelines, and compliance with CDHS/TCS policies (e.g., pilot testing of materials).
 - b) In coordination with CDHS/TCS, TECC, and other joint Partnerships, develop a Joint Partnership brochure within three months of being funded to describe program services offered by the Partnerships and a statewide resource guide of professional "contacts", including organizations and/or individuals working on priority population issues.
 - c) In coordination with CDHS/TCS, TECC and other joint Partnerships, develop a Priority Populations website or web page, within six months of being funded, that is dedicated to priority population information and links to available resources.

Required Component 2: Advocacy Campaign (CX Indicator or Asset chosen by applicant). Applicants must develop and implement at least one Advocacy Campaign objective addressing a CX indicator. Applicants should refer to the CX Needs Assessment Guide for a complete list of Indicators.

Each Partnership is to plan, coordinate, implement, and evaluate one advocacy campaign. The campaign is to have statewide relevance, but may be implemented regionally by the Partnership due to the resource limitations

of this RFA. Each campaign must facilitate community norm change focusing on a significant issue in their chosen priority population community that addresses one or more of the CDHS/TCS priority areas. The priority areas are: a) counter pro-tobacco influences in the community; b) reduce exposure to SHS and increase the number of smoke-free public places, worksites, schools, and communities; and, c) reduce the availability of tobacco products. Applicants are encouraged to engage other CDHS/TCS-funded projects to help support the implementation of campaign activities and extend their reach beyond that of the Partnership project.

Each advocacy campaign developed will result in a "turn-key" kit or "how to" guide that can be implemented by other CDHS/TCS contractors. Applicants must identify the need for the campaign, develop a comprehensive response, execute it, improve upon it and then develop and distribute a kit for use by others. CDHS/TCS will provide guidance in the development and distribution requirements for the kit or guide. Applicants must specify the parameters of the campaign, describe the various components, participants, target, etc. Development of the campaign must include a step to complete the Midwest Academy Strategy Chart (see Attachment 6) under the intervention heading labeled Policy Activities. The replicable intervention kit must include training (telephone or in-person) when appropriate to further enhance the implementation by others.

The development, implementation and evaluation of the advocacy campaign(s) is to be guided by an advisory committee (AC). In addition to guiding the advocacy campaign, the AC members are to participate in Information and Education (I & E) Visits to elected officials and participate in LLA coalitions.

Required Activities

- 1) Describe the activities of the AC under the advocacy campaign objective, under the heading Coordination/Collaboration Activities. In the description indicate that the AC will consist of five to eight members who meet once per year in person and will hold quarterly teleconferences to strategically plan the advocacy campaign.
- 2) AC members are to be recruited from across the state in locations where the prevalence of the chosen priority population is high. Wherever possible, there should be representation from rural as well as urban communities. AC members must have expertise in tobacco control issues among the priority population group, understand community-organizing principles, hold a leadership role in the community, and actively participate in the advocacy campaign as well as in I&E visits and collaborates with LLA coalitions.

- 3) Two to three AC members will participate in one to three I&E visits to elected official in California to educate them on current tobacco control issues and the impact of tobacco use on their community. I&E visits may include a half-day of training and one day of visits.
- 4) Each AC member will represent the Partnership in their LLA coalition and regularly participate in LLA coalition meetings for the health jurisdiction in which they reside. However, formal voting membership for these individuals is up to each LLA coalition's by-laws or operating principles. AC members will also participate in educational visits to local elected officials on an as needed basis.

Required Component 3: Provide Support to CDHS/TCS (CX Asset 3.4).

The Administrative Agency will offer support to CDHS/TCS and TECC by utilizing its own staff and AC members, where appropriate.

Required Activities

- 1) Tobacco Education Clearinghouse of California (TECC) Materials Review
 - a) Each Partnership shall offer their expertise by ensuring that a representative participates on the TECC materials review committee. The materials review committee acts as the advisory committee for recommending educational materials to be distributed in the TECC catalog. Each Partnership must designate one Administrative Agency staff person or Advisory Committee member to participate one to three times per year for materials review meetings.
- 2) CDHS/TCS Media Unit Assistance/Media Development
 - a) Partnerships are to incorporate media campaigns into their SOW (e.g., paid newspaper, radio, and print advertising, etc.), that supplement the priority population specific media campaigns developed by the CDHS/TCS Media Unit. For example, Asian and Pacific Islander Partnership media campaigns may be directed at populations such as the Samoan, Fijian, or Thai populations that currently do not receive CDHS/TCS Media Unit coverage.
 - b) Each Partnership is to recruit, train, and identify to the CDHS/TCS Media Unit the names of three to four spokespersons that are available for consultation when needed and are knowledgeable of tobacco control issues within their priority population. Each partnership will provide regular training to the identified spokesperson, to ensure that they are aware of current tobacco control data, policies, etc.
 - c) Each Partnership is to coordinate appropriate staff and/or AC members available to the CDHS/TCS Media Unit to review media subcontractor materials, participate in focus groups, and other priority population-specific media activities.

- 3) CDHS/TCS Statewide Workgroup Involvement
 - a) Currently, CDHS/TCS convenes Statewide Workgroups that address SHS, point-of-sale practices, alternative tobacco products, and countering tobacco sponsorship. CDHS/TCS will develop a new Statewide Workgroup to address Priority Population issues. Each Partnership must identify at least one staff person to serve as a workgroup member for any of the Statewide Workgroups when called upon by CDHS/TCS to do so. In addition to providing his or her own expertise to the workgroup, this person shall proactively bring the Partnership's perspective, issues, and needs to the workgroup. The person selected should have a strong interest in the workgroup issue.
- 4) Communities of Excellence (CX) Priority Populations Assessment Guides
 - a) Partnerships will assist CDHS/TCS in reviewing drafts and providing feedback on the new Priority Populations-focused community assessment guides. Attendance of two to three meetings and/or teleconferences will take place in 2004-2005.

Optional Component 4: Cessation (CX Cessation Indicator chosen by applicant). Cessation is an optional component. It is up to the applicant to decide on whether or not to include an objective(s) that focuses on delivery of these services.

- One or more objectives addressing cessation services can be included in the SOW.
- Objectives and activities proposed must complement rather than duplicate efforts funded by CDHS/TCS, state and local Proposition 10 activities, MSA activities and services available via the Internet.
- Objectives are to focus at the level of making system changes versus the provision of direct cessation services to tobacco users.
- Objectives are to be outcome focused and evaluated for their effectiveness.
- Interventions may focus on facilitating integration of smoking cessation services within maternal and child health programs.
- Interventions may focus on working with health insurers and healthcare service providers to develop institutional policies in support of smoking cessation, (e.g., reimbursement practices, clinical and systems procedures, incentives for providers, and clinical education about providing cessation services.)
- Interventions may include working with healthcare providers to develop office-wide systems to ensure that every patient at every visit is asked about their tobacco use status and the information is systematically documented in their medical record as routinely as vital signs data are recorded.

b. **Guidelines for Completing the SOW**

- 1) The eight-column SOW format must be used by all applicants to ensure consistency for review purposes by CDHS/TCS staff and reviewers.
Plans presented using a format other than that described below will NOT be reviewed.
- 2) Carefully follow the SOW requirements and preferences for funding. Provide all the required information and the detail necessary to make the proposed project clear. Applicants must provide all the required information as detailed in the instructions provided in this document.
- 3) The SOW provides the basis for grant negotiations, and along with the Budget, becomes a legally binding document. The SOW is referenced in the grant and is the "road map" that provides the direction, activities, and expected outcomes of the project. The approved SOW and any subsequent revision is incorporated and made part of the grant. The SOW can only be changed with prior approval from CDHS/TCS.
- 4) The Budget and Budget Justification should closely correspond to SOW activities, deliverables, and timelines. For example, if production of a radio ad is described in the SOW, funds should be budgeted for creative development, production, and placement of the ad. If promotional items are to be distributed to the target audience, these should also be described in the SOW and Budget.

c. **Format for the SOW**

Format the SOW using the following instructions. Refer to Appendix F for sample format. See Attachment 5 for a blank form of Scope of Work. A complete format/template is also available online at the CDHS/TCS website at: www.dhs.ca.gov/tobacco. Please note, CDHS/TCS anticipates competitive grant applications will transition into the Online Tobacco Information System (OTIS) in January 2005. To facilitate the transfer of the SOW, including evaluation, you are required to provide information in the format prescribed below.

- 1) Header Information: The header information must be included on every page. Include your agency name and project name. The contract term is July 1, 2004 to June 30, 2007. The revision date is the date the plan is submitted to CDHS/TCS (March 5, 2004). Leave the grant number and Progress Report Period blank.
- 2) Component: State the component that the objective will address.

3) Column 1: Objectives/Activities/Evaluation

Component Objectives:

For each objective, provide the CX Community Indicator or Asset at the end of the objective. Objectives shall not include ranges and should be outcome based. Required components one through three below are required to be included in the SOW as objectives; the fourth cessation component is optional to include as an objective.

Categorizing Activities in the SOW:

Following each objective, use an annotated outline format to describe the activities to be conducted to achieve the objective. Describe each activity to be conducted in terms of how much will be done and where the activities will occur. In describing the activities, quantify the amount of work to be performed in order to help justify the budget request. You are encouraged to use ranges, unless otherwise noted in the RFA requirements. Indicate the length, frequency and number of trainings, presentations, site visits, educational materials, etc. Indicate where appropriate, the geographical location or site where activities will occur (e.g., North County Region, housing projects, casinos, rodeos, etc.).

Group and organize activities using the “Major Intervention Categories” listed below as headings. Arrange activities chronologically under these headings. These categories are purposively broad and are a means to organize similar activities. **These headings must be used.**

Major Intervention Categories

Coordination/Collaboration Activities

Community Education Activities

Educational Materials Development

Incentive Items

Media Activities

Mini-Grants

Policy Activities

Promotional Items

School-based Education

Sponsorship Activity

Training/Technical Assistance Activities

It is not necessary to have activities for every Major Intervention Category. However, applicants should use a comprehensive approach with a mix of activities designed to accomplish the objective. **If your SOW does not**

include activities in a Major Intervention Category, do not list the category in your SOW.

Evaluation activities for an objective, such as bar surveys, youth tobacco purchase surveys and key informant interviews, must be categorized separately under the heading “Evaluation Plan.” The Evaluation Plan is to be included at the end of each objective’s intervention categories and activities on the SOW form. It is not a separate document.

Definitions and Examples of Major Intervention Categories

Community Education Activities: Describe community education efforts such as advocacy activities, presentations, outreach, counseling, small group education, letter writing, conducting public hearings or forums, filing complaints with government officials, etc.

Example: Conduct three to five presentations of 15 minutes to 1 hour in length to the Hispanic Chambers of Commerce regarding the issues of tobacco industry sponsorship and advertising at community events.

Coordination/Collaboration Activities: Describe whom you will coordinate and collaborate with to avoid duplication of effort and maximize your resources. Describe the activities. These may include coordinating with the LLA, collaborating with other competitive grantees, collaborating with non-Prop 99-funded groups, etc.

Example: Conduct three to five meetings or telephone conference calls with other TCS-funded projects in the county to coordinate observation of rodeos, fairs, and other special events to identify tobacco company sponsorship and to share results.

Educational Materials Development: Describe educational materials development. This does not include development of advertisements. It refers to posters, pamphlets, curriculum, videos, flip charts, etc. Prior to developing educational or media materials, check with the Tobacco Education Clearinghouse of California (TECC) to determine if a piece currently exists that could be used or could be modified for use. In the description of the educational material, describe development process, pilot testing/evaluation, printing and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced.

Example: Produce ten copies of a 10 to 12 minute video exposing tobacco industry sponsorship in rural areas. The target audience will be key opinion leaders belonging to business and community organizations. Create objectives for the video and then develop a draft script that will be reviewed by coalition members, Project SMART Money Workgroup Members, and others knowledgeable of tobacco industry sponsorship. Work with other rural areas to identify events with tobacco sponsorship or advertising to include in videotaping. Identify, interview, and tape two to three rural Fair Board members who supported policies to turn down tobacco sponsorship funds. Develop a rough-cut of the video. Get review and comments from three to four key opinion leaders and then finalize the video. Dissemination will be three to five rural counties for use at presentations and to TECC.

Incentive Items: Describe incentive items. Tobacco use prevention projects may use incentives to reinforce or motivate a behavior change. Incentives are only to be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use for incentives and how they will be used. If you do not know the exact incentive item you will use, list possible examples (e.g., gift certificates, mugs, t-shirts, etc.).

Example: Provide \$20 music store gift certificates to youth who participate in two days of youth tobacco surveys, at the completion of the second day.

Media Activities: Describe media activities. This includes development of print, outdoor, or electronic advertisements, public relations activities, press events, and other activities designed to either place your message in the media or obtain coverage of your message by the media (newspapers, radio, television reporters). Prior to proposing to develop any media materials, check with TECC to determine if a media piece exists that could be used or could be modified for use. In the description of advertisements to be developed, describe development process, pilot testing/evaluation, production, and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced. For public relations activities and press events, describe and quantify the nature of the event.

Example 1: Check with TECC to obtain samples of materials related to SHS exposure in the home and car. Develop, produce, and place an informational story and accompanying graphic for a locally produced weekly newspaper exposing the danger of SHS exposure in the home and car. Run a piece through appropriate focus groups to ensure that the message is understood and appropriate.

Example 2: Conduct one press conference for mainstream and ethnic radio, television, and print media to orient reporters and provide interviews regarding the significance of a recent local study highlighting the numbers of infants and children in the local health jurisdiction who are exposed to SHS in their family car. The evaluator, Agency Director, and Project Director will present findings at the press conference. Twenty-five press packages will be prepared for distribution in Spanish, English, and other appropriate languages. The press packet will contain a description of the survey and the major findings, a sample press release, an advisory to parents, as well as background information on the health effects of SHS exposure on infants and children.

Mini-Grants: Mini-grants may only be used to directly support implementation of the advocacy campaign or cessation objective. General mini-grant programs are not permitted. Describe those grants that are awarded for short-term projects that support and enhance achievement of objectives. Describe the number to be awarded and the general type of projects they will be awarded for. Applicants should review and adhere to the Policy Section of the Competitive Grantees Administrative and Policy Manual for requirements about mini-grants.

Example: Award one to two mini-grants through a competitive process to conduct educational activities at community events to establish smoke-free home and car policies.

Policy Activities: Describe those activities that relate to the development, facilitation, and adoption of voluntary or legislated policies. For each policy objective, applicants are to include at least one strategic planning session with community partners utilizing the Midwest Academy Strategy Chart as referenced in attachment 6.

Example 1: Coordinate one 3-4 hour strategic planning session with local community partners and utilize the Midwest Academy Strategy Chart to assist with community organizing efforts to pass a policy prohibiting tobacco sponsorship among cultural events.

Example 2: Provide 20-30 hours of technical assistance to six to eight cultural/art programs to adopt an agency policy prohibiting the acceptance of tobacco industry funds.

Promotional Items: Describe promotional items (promotional items are used to generate visibility and interest in the program). Promotional items generally include items such as buttons, key chains, stickers, posters, or

inexpensive visors. If you do not know the exact promotional items you will use, list possible examples (e.g., buttons, key chains, magnets, etc).

Example: Distribute 300 helium balloons with an anti-tobacco use message on them at rodeo events where there is tobacco industry sponsorship or advertising.

School-based Education: Describe school-based educational efforts that take place in pre-schools, elementary schools, middle schools, high schools, vocational schools, colleges, universities, or home schools. Describe efforts such as presentations, youth recruitment, assessment activities, special events, campaigns, advocacy activities, small group education, etc. Applicants should review and adhere to the Policy Section of the Competitive Grantees Administrative and Policy Manual for requirements about working with schools.

Example: Conduct two to three bi-annual trainings to four to five head start program staff on a SHS curriculum. Offer resource information and educational brochures to staff.

Sponsorship Activity: Describe sponsorships to be awarded that will counter the tobacco industry's pro-tobacco use messages in the community and that will develop community goodwill for anti-tobacco educational, media, and policy activities. Describe the number to be awarded and the types of events or programs that will be sponsored. Applicants should review and adhere to the Policy Section of the Competitive Grantees Administrative and Policy Manual for requirements about sponsorship activities.

Example: Award two to three sponsorships to local sport teams and events promoting smoke-free messages. In return for the sponsorship, the program will obtain a large banner promoting the team/event as smoke-free, publicity promoting the smoke-free message, our program's name as a sponsor, and dissemination of educational materials or promotional items with a smoke-free message.

Training/Technical Assistance Activities: Describe training activities. These are activities designed to train others in the development of a new skill. Training activities may target such things as training coalition members and volunteers on how to conduct data collection activities, target tobacco clerks on how to check identification, or WIC Supplemental Nutrition Program workers on how to assess SHS exposure. Training activities are more extensive than presentations and involve the use of a curriculum with specific learning objectives.

Example: Provide three to six, one and one-half hour trainings to youth 15 to 16 years of age on how to participate in a youth tobacco purchase survey. The training will include parental permission, safety issues, data collection, and dealing with conflict. The training will include didactic and role-playing sessions. A training curriculum will be adapted from the CDHS/TCS Youth Tobacco Purchase Survey Protocol Manual.

Evaluation Plan:

An Evaluation Plan must be included for each objective. Present the Evaluation Plan immediately following the outline of the intervention activities under the heading, "Evaluation Plan". The Evaluation Plan is to be presented on the SOW form. **Do not create a separate document.**

NOTE: Please refer to the "Local Program Evaluation Planning Guide" for suggested evaluation designs for CX indicators.

Describe the Evaluation Design

- a) At the beginning of the Evaluation Plan, describe *what specific outcome is being measured*. It is crucial that the outcome measured is consistent with the goal specified in the objective.

Example: There will be a minimum compliance rate of 85 percent with LC Section 6404.5 among Korean businesses.

- b) General Evaluation Design: Select and state one of the following three General Evaluation Designs:

Experimental with Randomized Groups

(Select this option if your study design has both an intervention AND control group AND there is random assignment to these groups.)

Quasi-Experimental with Non-equivalent Groups

(Select this option if your study design has both an intervention AND control group, BUT there is not random assignment to these groups.)

Non-Experimental

(Select this option if your study design does NOT have both intervention AND control groups. Generally, a case study is included in this design.)

- c) Outcome Evaluation Description (Non-Policy Implementation Objectives)

- Describe the Intervention Group: State, “Intervention Group” and then provide the number of units (e.g., communities, agencies, stores, and individuals) to receive the intervention and those that will be measured. This information may be a range (e.g., 50 to 75 stores).
- Clearly indicate whether the intervention group will be an “Intact Group” for the purposes of the evaluation design. An “Intact Group” means the exact same units are measured each time a measurement is taken.
- Describe the Control Group: State, “Control Group” and then provide the number of units (e.g., communities, agencies, stores, and individuals) that will NOT receive the intervention but that will serve as the comparison, or control group. This information may be a range (e.g., 50 to 75 stores). Clearly indicate whether the control group will be an “Intact Group” for the purposes of the evaluation design. An “Intact Group” means the exact same units are measured each time a measurement is taken. State “No Control Group” if you have no control group.
- Measurements: Select and state one of the following three types of measurements:

Post-test only

Select this option if you will do one measurement of the group after the intervention has been conducted.

Pre-and Post-Test

Select this option if you will measure the SAME group of subjects before and after the intervention using the same protocol.

Multiple Measures

Select this option if you will measure the SAME group of subjects at different points in time using the same protocol.

d) Process Evaluation Description

State the type of process evaluation that will be conducted:

- Focus group
- Key informant interview
- Public opinion poll (including public intercept survey)
- Education/participant survey*
- City or county council record
- Media activity record
- Evaluation-related training
- Other

* Education/participant surveys include the business survey (e.g., attitudes, knowledge, etc.) for groups that are targeted by education or

intervention (e.g., bar owners and staff, store owners and clerks, etc.) and evaluation survey (e.g., attitudes, knowledge, etc.) for participants in trainings and classes.

e) Data Collection:

- State, “Data Collection Instruments” and then describe all the instruments that will be used in the evaluation of the interventions. These may include written survey, key informant interview questionnaire, observational checklist, etc. If you are using or adapting the instrument from a particular source, please describe the source, such as STORE Campaign.

Examples: Adapted STORE Campaign observational survey, semi-structured interview instrument including open-ended questions on primary reasons for being able to or not able to implement self-service display ban for cigars and chew, telephone survey to be developed, California Youth Tobacco Survey instrument.

- **Methods:** Describe the methods that will be used to collect data. These may include focus groups, in person surveys, mail, observation, telephone, paper and pencil, photograph or video, etc.
- **Where Data is Collected:** Describe where the data will be collected. This may include college campuses, homes, tobacco retail outlets, rodeos, clinics, pharmacies, shopping malls, the names of particular communities, etc.
- **Sample Selection:** For each data collection method, select and describe one of the four following ways the sample will be selected.

Simple Random Sample or Simple Random Selection

Select this option if you will use a simple random sample. To get a simple random sample, one should have a list of all possible units (e.g., individuals, households, bars, stores, schools, communities, etc.) in the population, and select some using random selection; that is, all of them on the list have the same probability to be selected. In addition, in simple random sampling, the selection probability of any unit in the population is not linked to the selection probability of any other unit, which differentiates this method from other random sampling procedures such as systematic sampling, cluster sampling, or stratified sampling.

Random Cluster Sample

Select this option if you will use random cluster sampling. This is a pragmatic alternative to simple random selection. A number of clusters (e.g., communities, schools, street blocks) are randomly selected, and then a number of units (e.g., individuals, households,

bars, stores, schools, communities, etc.) within each cluster are selected, either randomly or

Non-randomly. In some cases, it is difficult to get a list of all possible individuals in the population for a simple random selection. In other cases, a simple random sample may require endless travel because those selected units are scattered all over the county. So you can randomly select a number of clusters instead.

Purposive Sample

Select this option if you will use purposive sampling. This is a type of sampling procedure in which units are selected deliberately rather than based on a random probability process. For example, units (e.g., individuals, bars, stores, schools, etc.) might be selected purposively because they are believed to be able to provide the most information about the population based on knowledge, experience, or subjective judgment. In some purposive samples, the most extreme cases in a population are deliberately selected (e.g., the most successful and the least successful program sites) because they may yield the most insight on how programs can be improved. Purposive sampling is an alternate to random sampling and requires less cost and workload. It is recommended that one should be very knowledgeable about the population before a purposive sample is used. For example, if you are confident that Community A has demographic characteristics, cultural environment, smoking prevalence, and other factors that are very similar to other communities within the county, consider using this community as your sample for data collection. The data will be representative of the entire population of the county.

Convenience Sample

Select this option if you will use a convenience sample. A convenience sample is another type of a non-probability (non-random) sample, although it is not recommended because it does not produce results that are generalizable to units outside of the sample.

Example: A simple random sample will be used. A master list of all bars and restaurants with bars in each city and unincorporated area of the county will be prepared. A simple random sample of bars will be drawn with over-sampling in Vallejo and Dixon. All restaurants with bars will be included in the observational survey.

- f) **Type of Analysis:** Describe what type of analysis will be done. The type of analysis may include comparisons over time, comparisons with other groups, comparisons with a control group, etc.

g) Dissemination of Results: Describe how you will disseminate the evaluation results. This may include presenting or publishing your findings to a professional journal, tobacco-related or health-related conference, local media or city council, use for public relations or media advocacy, posting results on PARTNERS, etc.

4) Column 2: Copyright ©

Indicate if the activity involves development of a copyrightable product such as a brochure, poster, ad, manual, etc., by placing a copyright sign (©) in this column. See Appendix E for more details on copyright rules and regulations.

5) Column 3: Program Deliverable Percentage

For each program deliverable, indicate a percentage that reflects the programmatic value or percent of effort for deliverables only. The program deliverable percentage reflects a combination of staff and budget resources to complete the deliverable. A program deliverable reflects products and services developed or conducted under the contract. The deliverable is inclusive of all the coordination and collaboration conducted in order to produce the deliverable. Do not assign a percentage to activities that describe coordination, collaboration, or planning only. For example, do not assign a percentage to coordination/collaboration and planning activities that lead to the accomplishment of a press event or educational training. The press event or educational training is the program deliverable. The total of the percentages assigned in the SOW may not be less than or greater than 100 percent and no program deliverable may be assigned a percentage of less than 0.5 percent.

At the end of the term of this contract period, the program deliverable percentage will be used to help ascertain and calculate the maximum amount of funding the grantee should receive, based upon the completion of program deliverables. If any program deliverable is not performed, only partially performed, or is not performed at a level of quality/satisfaction, the program deliverable percentage will be used to determine a reduction in payment to the grantee.

6) Column 4: Start/End Date

List the progress report periods during which each program and evaluation activity is expected to start and end. Be sure to state the progress report period in which you will begin to work on the development of the data collection instrument(s) and the progress report period in which the data collection instrument(s) will be finalized and the progress report period in which data collection will begin and end.

Use only the progress reporting periods below as the timeframes in this column. For example, July 2004 - December 2004. The progress report periods are as follows:

- July 2004 - December 2004
- January 2005 - June 2005
- July 2005 - December 2005
- January 2006 - June 2006
- July 2006 - December 2006
- January 2007 - June 2007

7) Column 5: Who is Responsible

Indicate the position responsible for each program and evaluation activity. This may include program staff, volunteers, coalition members, consultants, or subcontractors. Indicate the **specific position**, such as Project Director or Evaluator. These positions must correspond to the positions used in the Budget Justification. You may abbreviate position titles (e.g., HE for Health Educator). Provide a key to identify position titles if using acronyms. Do not include agencies or individuals that **are not** within your control (e.g., city officials, schools, etc.).

8) Column 6: Tracking Measures

List the items that are used to document and verify that program and evaluation activities are completed. These range from sign-in sheets, meeting logs, and press releases, to more complex measures such as focus group findings, survey instruments, and survey results. These measures verify that the activity occurred, provide supporting documentation for the progress report, and represent the process evaluation.

9) Column 7-8: For Progress Report Use Only

These columns should be left blank. They are used only for completing progress reports.

8. BUDGET/BUDGET JUSTIFICATION (No Attachments) = 20 POINTS

Criteria:

Funding preference shall be given to applicants that:

- Submit reasonable budgets for the proposed quality and quantity of activities in the SOW;
- Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;
- Propose salaries consistent with comparable State civil service classifications;

- Provide the level of detail requested in the Budget and Budget Justification instructions;
- Designate one staff person as the lead on evaluation activities; and,
- Allocate a minimum of ten percent of the lead staff person's time toward overseeing evaluation activities, including the coordination of an evaluation consultant or subcontractor that may be hired.

The Budget Justification must be a realistic depiction of the expenses for your project.

Budgets must be prepared and spent on a FY cycle as required by the State Department of Finance. Funds not spent in one FY will not be available for use in the following FYs.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs (e.g., personnel increases/decreases throughout the budget period(s), etc.).

Budget Justification Instructions

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the SOW; and, 2) helps evaluate the SOW and Budget. Please refer to Appendix H for the required Budget Justification format. This format is required to maintain a standardized review and audit trail. Please note – this is only a **sample** of how to complete the Budget Justification – all figures in the sample are fictitious.

Prepare one Budget Justification for the entire grant period. Only use whole numbers and round to the nearest dollar. When you complete the Budget Justification, transfer the totals to the Budget page.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff may increase/decrease as program intensity fluctuates. Keep in mind funds that are unspent in one FY will not be available for use in the following FYs.

a. Personnel Costs

This category of the Budget Justification provides detail on the following:

1) Position Title:

List all classifications or functional titles for positions for the extension period. Position titles used in the Budget Justification must be consistent with the titles used in the SOW in the "Who is Responsible" column.

Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper, etc.) budgeted at less than 10 percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Agencies having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid. Do not use annual salaries. Whether part-time or full-time, enter the low-end and high-end of the full-time salary range for each position listed. Make sure the high-end of the salary range allows for any anticipated salary increases (e.g., performance or merit salary adjustments) for the position through the end of the extension period. Examples of actual salary ranges are: \$3,000-\$3,473 per month, \$1,800-\$1,985 per semi-monthly pay period, \$1,600-\$1,764 per bi-weekly pay period, \$840-\$926 per week, \$9-\$12 per hour, etc.

Pursuant to Section 3.17.1 of the State Contracting Manual, salaries paid to project staff, shall not exceed those paid to State personnel for similar positions/classifications. (See Appendix I for a listing of Comparable State Civil Service Classifications.) **If any proposed salary exceeds the State personnel salaries, justify the reason and necessity for the higher rate. Any such justification will receive close review by the State, and must be approved in writing by the State. CDHS/TCS may request additional information during contract negotiations.**

3) Percent of Time:

For each position indicate the percent of time, in whole numbers, or the total hours per pay period. For example, a full-time bi-weekly employee is 100 percent time, a bi-weekly employee who works 20 hours of a 40-hour workweek is 50 percent time. For hourly employees estimate the total number of hours per pay period (allow for low and high working cycles). If the amount of time for some positions vary from month to month, enter a percent of time **range** (e.g., 30 to 40 percent, or 10 to 20 hours per pay period, etc.).

4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed.
Pay periods are defined as follows:

Monthly = 12 pay periods per year

Semi-monthly = 24 pay periods per year

Bi-weekly = 26 pay periods per year

Weekly = 52 pay periods per year

Hourly = "X" number of hours per pay period (*do not use percents of time if a position is paid hourly*)

5) Description of Duties:

Provide a brief description of the duties, responsibilities, and activities to be performed by each position in support of this grant. Within the description identify the lead staff person responsible for overseeing and coordinating evaluation activities. Indicate the appropriate percent of time for this lead staff person.

6) Amount Requested:

Calculate and list the dollar amount requested for each position. (Salary X percent of time X number of pay periods = Total for position).

NOTE: The total amount requested cannot be:

- less than the lowest dollar amount computed by multiplying the low-end of the salary range X the low end of the percent of time X the lowest number of pay periods; or,
- greater than the highest dollar amount computed by multiplying the high-end of the salary range X the high-end of the percent of time X the highest number of pay periods.

Total Personnel Costs: Add all personnel position dollar amounts requested in support of this grant to compute the total personnel costs.

b. Fringe Benefits

Refer to Appendix K, Contract Uniformity, for specific allowable Fringe Benefits. Please note that Fringe Benefits do **not** include employee leave (i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training). List the benefits that your agency provides. If applicable, identify positions that will not receive benefits with an asterisk (*). List the percentage rate and the dollar amount requested for fringe benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range (e.g., 20 to 25 percent).

Total Personnel Expenses: Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses.

c. Operating Expenses

NOTE: Items 1) and 2) below must appear in every Budget Justification. If there are no expenses related to these Line Items, please enter zero.

1) CDHS/TCS Communications Network (PARTNERS)

All funded grantees are **required** to obtain and maintain an active PARTNERS account. While there is no charge to CDHS/TCS-funded grantees for the PARTNERS subscription, your agency should budget for an Internet access-provider.

Internet access fees are generally \$20-\$25 per month. Budget for the monthly-internet access fees for the entire grant period. If you choose not to budget for this line item you must provide an explanation as to how you will access PARTNERS (i.e., agency has local area network with automatic access to Internet).

2) Space Rent/Lease

Provide the total number of square feet to be charged to this grant and the cost per square foot. Allow for any anticipated rate increases during the period. Multiply these figures by the number of months in the Budget period to obtain the subtotal. **Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus “reasonable” square footage for shared space such as conference rooms, storage space, etc.** If the total square footage needs of the project exceed State standards, justify the need for the additional space.

(total square feet) X (cost per square feet) X (number of months)

Example

2 staff x 150 square feet x \$1.25/ square feet x 12 mo. =	\$4,500
2 staff x 150 square feet x \$1.50/ square feet x 12 mo. =	\$5,400
2 staff x 150 square feet x \$2.00/ square feet x 12 mo. =	\$7,200

Total for 36 months = \$17,100

3) General Expenses:

Include in this line item expenses for office supplies, postage, duplicating, and communications.

a) Office Supplies:

This expense is for general office supplies (e.g., pens, pencils, paper, etc.). Equipment, travel expenses, etc., are not considered office supplies.

b) Postage:

This expense is for postage of correspondence and other materials.

c) Duplicating:

This expense is for “in-house” duplicating and reproducing. The duplicating is internal and routine, usually for small office jobs. This can include the tobacco program’s share of your agency’s copy machine usage. It can also include copier maintenance agreements, copier supplies such as paper, toner, etc. (Duplicating supplies such as paper, and toner may be included in either the Office Supplies Line Item or the Duplicating Line Item, but should not be included in both.)

d) Communications:

- This expense refers to installation and any monthly charges related to the telephone system including fax line costs.
- Cellular phones and monthly access fees are NOT authorized for this contract.
- Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.

Add Items a) - d) to compute the Total General Expenses.

4) Printing:

Include expenses for printing and reproduction; this is usually for larger jobs completed by outside vendors (e.g., brochures, leaflets, posters, forms, etc.).

5) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount. Examples of rental items are computer and office equipment. **Rental Equipment will be authorized on a case-by-case basis.**

NOTE: Renting/leasing to own, purchase/leaseback, and lease/purchase of equipment is not allowed.

6) Audit Expenses:

All CDHS/TCS-funded grantees are required to conduct an audit in accordance with the requirements specified in the Federal Office of Management and the Budget (OMB) Circular A-133, entitled "Audits of States, Local Governments, and Non-Profit Organizations." The Budget amount should represent the proportionate amount of this contract in relationship to your business' total revenue. For example, if this contract represents ten percent of your business' total revenue, then this contract would be responsible for no more than ten percent of the total annual audit costs. In your justification, provide the dollar amount allocated for the audit, how you arrived at this figure, the percentage this contract represents of your business' total revenue and

identify FY in which you operate (e.g., July 1 through June 30). **When combined, this Audit Expense line item plus the Indirect Expenses line item must not exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefit line item amounts).** Applicants choosing not to allocate funds for audit purposes must provide a written justification indicating how they intend to comply with the audit requirement.

Continue to add Line Items if needed, numbering sequentially following Audit Expenses. **Please list them individually and be specific.** Provide enough information to justify each additional line item.

Total Operating Expenses: Add all Operating Expense Line Items in order to compute the Total Operating Expenses.

d. Equipment Expenses

Due to the limited availability of funds for this RFA, there will be no equipment approvals for this RFA process. Therefore, place a \$0 in the equipment category in the budget justification.

e. Travel/Per Diem and Training

Travel and training are to be consistent with the needs of the tobacco control project and supportive of the SOW. **Travel is reimbursed at the current State Department of Personnel Administration (DPA) rates. See Appendix J, Travel Reimbursement Information. Additionally, State funds may not be used for out-of-state travel, per diem and training/conferences without prior written approval by CDHS/TCS.**

NOTE: The following numbered line items must appear in every Budget Justification in the order presented here. If there are no expenses related to one of these line items, enter zero.

1) Project Travel/Training:

- a) Project Travel: Includes airfare, meals, lodging, incidental expenses, and mileage which are necessary to implement your SOW (e.g., to conduct local surveys of in-store tobacco advertising, to attend local or Statewide Priority Populations Trainings, meetings or trainings, etc.). Provide the approximate dollar amount requested for project travel that is directly related to completion of the SOW.

- b) Project Training: Includes registration fees for staff development or any other additional training events for professional, clerical, administrative personnel, advisory board members, youth volunteers, committee members, etc., necessary for the completion of activities in the SOW. Training may include courses on computer software, meeting facilitation, planning, leadership, etc. Provide the dollar amount requested for project training costs that are related to completion of the SOW.

2) Optional CDHS/TCS Travel/Training:
General Description:

Number of Trainings/Conferences: CDHS/TCS and its statewide contractors (e.g., Statewide Priority Populations Trainings, statewide public relations contractor, CYAN, BREATH, and others) may conduct two to four trainings/conferences each year.

These trainings/conferences are specifically directed toward CDHS/TCS-funded projects, provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy, and are a means to be connected to California's larger tobacco control movement.

Length of Trainings/Conferences: Each training/conference is usually one to two days.

Training Sites: Each training is generally offered only once. Occasionally, trainings are offered twice: one in Northern California (generally Bay Area or Sacramento counties) and one in Southern California (generally Los Angeles, Orange, or San Diego counties).

a) Trainings/Conferences by CDHS/TCS and Statewide Contractors:

It is recommended that you budget for one to two staff to attend two to five CDHS/TCS trainings per FY at \$750 per person. Over the next three years, trainings may include the following topics:

- Harm Reduction
- Information and Education visits to the State Capitol annually
- LLA Guidelines Technical Assistance Meeting in FY 2006-07 (spring 2007)
- SHS Live, Work and Play in FY 2004-05 (summer 2004)
- Communities of Excellence (CX) Priority Populations Training in FY 2004-05 (January 2005).

3) Required CDHS/TCS Travel/Training

- a) Project Directors' Meeting (PDM): This event (generally every 18 months) is typically a four day conference for two to three program and evaluation staff. Budget this expense in FY 2004-05 (spring 2005) and FY 2005-06 (spring 2006). **The PDM is expected to be held in the Spring of 2005 in Sacramento, California.**

Budget \$1,200 per person (\$1,000 for travel/per diem and \$200 for registration) for a maximum of two to three program and evaluation staff to attend.

b) CX Training:

Budget \$750 per person for 1-2 staff to attend the CX training in FY 06/07 (fall 2006).

c) LLA Guidelines Information Meeting:

Budget \$750 per person for one to two staff and the project evaluator to attend the Information Meeting in FY 2006-07 (winter 2007).

4) Out-of-State Travel

Identify any possible out-of-state trips. Include the amount budgeted, number of staff, and purpose. All out-of-state travel not approved through this budget process will require written CDHS/TCS approval. However, final approval of any out-of-state travel will be contingent upon participating in the conference as a presenter, panel member, speaker, etc.

a) National Conference on Tobacco or Health (**optional**)

Agencies budgeting for this conference must be session presenters at the conference in order to attend. Agencies must submit to CDHS/TCS the documentation from the National Conference Committee to verify agency participation.

Budget \$1,400 per person (\$1,100 travel/per diem and \$300 registration) for one to two program staff to attend the National Conference in FY 2004-05. The 2004-2005 National Conference on Tobacco or Health that will be held in Chicago, Illinois, on May 4-5, 2005.

b) World Conference on Tobacco or Health (optional)

Budget \$1,400 per person (\$1,100 travel/per diem and \$300 registration) for one to two staff to attend the World Conference on Tobacco or Health. Budget Year three only, 2006-07. The Conference will be held in Washington, D.C., on July 12-15, 2006.

f. Subcontracts and Consultants

Note: Item 1) must appear in every Budget Justification. If there are no expenses related to this line item, please enter zero.

- 1) Mini-Grants provide a flexible funding mechanism that allows for quick response to opportunities within the community. Mini-Grants can be awarded for amounts not to exceed \$5,000 and are for operating expenses and temporary help only. Personnel costs are not allowed. Mini-Grants must be used for activities that support the CDHS/TCS priority areas. Provide a brief description of the areas that mini-grants might cover, the dollar amount, and estimated number of mini-grants to be awarded for the contract term. General mini-grant programs are not permitted under this RFA.
- 2) Subcontracts are usually for long term projects needing salaried positions, indirect costs, etc. The subcontractor should provide a specialized task that is directly related to the project's activities. The subcontractor's salary should not exceed those paid to state personnel for similar positions/classifications (See Appendix I for a list of Comparable State Civil Service Classifications).

NOTE: Subcontractor indirect costs shall not exceed 25 percent of their Personnel Expenses (Personnel Costs plus Fringe Benefit line item amounts).

The concept of subcontracts in the RFA will be reviewed by the assigned application reviewers. If approved and prior to reimbursement, CDHS/TCS must review and approve subcontract agreements costing \$5,000 or more. Refer to Chapter 600 of the Competitive Grantees Administrative and Policy Manual for more information.

List the subcontract(s) that will provide a specialized task that is directly related to the project's activities. Make sure the subcontractors listed in the Budget Justification are also referenced in the SOW. For each subcontractor provide the name of the individual or agency, a description of activities to be performed, period of time, and total cost for services. List each subcontract separately on the Budget page (See Appendix G, Budget Sample).

Additionally, for each subcontractor listed, prepare and submit a separate line item Budget and Budget Justification using the format provided in Appendices G and H. However, a narrative that describes the activities to be performed and a budget amount may be submitted if the subcontractor is unknown at this time.

- 3) Consultants are individuals whose level or area of expertise relating to the project activities extends beyond that possessed by project staff. Typical services provided by a consultant is advice on programmatic issues (e.g., group facilitator, in-service training, program design and development, program evaluation, etc.). At no time should a consultant's fee exceed the fee of a comparable state civil service classification, inclusive of all costs, but excluding travel/per diem. The rate should commensurate with the consultant's level of training, expertise, and national recognition. **Every effort should be made to negotiate the lowest possible cost.** Refer to Appendix I for a list of Comparable State Civil Service Classifications. If you cannot find a comparable classification on this chart, contact your assigned Contract Manager for assistance. Make sure the consultants listed in the Budget Justification are also referenced in the SOW. For each consultant, provide the consultant name, hourly rate, number of hours to be worked (e.g., per week, per month, per year, etc.), total cost, and description of activities to be performed.

The concept of the consultants in the RFA will be reviewed by the assigned application reviewers. If approved and prior to reimbursement, CDHS/TCS must review and approve consultant agreements costing \$5,000 or more. Refer to Chapter 600 of the Competitive Grantees Administrative and Policy Manual for more information.

Total Subcontracts and Consultants: Add all subcontract line item amounts to compute the Total Subcontracts and Consultants.

g. Other Costs

NOTE: The following five items below must appear in every Budget Justification In the order presented here. If there are no expenses related to one of these line items, enter zero.

Refer to Policy Section, Section II, Chapter 300, for more information on educational materials, promotional items, and incentives.

1) Educational Materials:

Includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, CD-ROMs, etc., necessary for program activities.

NOTE: Do not itemize; use broad categories and estimates only.

2) Promotional Items:

These are miscellaneous items provided to individuals in order to generate visibility and interest, increase public awareness, and to promote attitudes which support tobacco control activities in the community (e.g., buttons, key chains, stickers, posters, inexpensive visors, etc.). The intent of the

bumper sticker is not to facilitate behavior change, but to generate interest and enthusiasm for the program. Make sure the promotional items listed in the Budget Justification are also referenced in the SOW. Provide a list of promotional items and total budgeted amount.

NOTE: Do not itemize or give detail of quantity, cost, or subtotal for each item. Only provide a list of items and the total budgeted amount. These are only estimates.

- 3) Incentives: *(not to exceed \$50 per participant per year)*
These are awards provided to intervention participants to reinforce a positive behavior change. **Cash awards and rewards are not permitted.** Incentives are not to exceed \$50 worth of merchandise per person per year. Make sure the incentive items listed in the Budget Justification are also referenced in the SOW. List incentive items and total budgeted amount.
- 4) Media:
This line item may include the development, purchase, or placement of public service announcements (PSAs), paid advertisements on radio, television, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, television, and print advertisements may be budgeted either in this line item or in the Subcontracts and Consultants category, but should not be in both. List the types of planned media that supports activities in the SOW and the total budgeted amount. Make sure the media, public relations, and advertising items listed in the Budget Justification are also referenced in the SOW.
- 5) Sponsorships:
Sponsorship is a type of advertising that prominently promotes an anti-tobacco use message. The purpose of a sponsorship is to counter the tobacco industry's pro-tobacco use messages in the community and to develop community goodwill for anti-tobacco use through educational, media, and policy activities. The sponsor (your program) should receive something tangible in exchange for being the sponsor. The larger the sponsorship, the larger the value the sponsor should receive which may include large signage at the event, advertising in the event program or materials, booth space, publicity on the radio or television, public announcements at the event, tobacco free policy, etc.

List and describe the potential sponsorships and the total budgeted amount. The use of sponsorships must be described in the SOW.

6) Additional Expenses:

Please list them individually and be specific. For example, facility fees for renting a meeting room to conduct a training or renting a booth at a health fair, etc. Provide enough information to justify each additional line item. Make sure the additional line items listed in the Budget Justification are also referenced in the SOW. Total Other Costs: Add all other costs line items in order to compute the Total Other Costs.

h. Indirect Expenses:

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance Audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

NOTE: Costs associated with the annual Financial and Compliance Audit may either be budgeted in this line item or budgeted in the Audit Expense line item under Operating Expenses. If audit costs are budgeted in the Audit Expense line item, the Audit Expense line item plus Indirect Expenses line item must not exceed 25 percent of the TOTAL PERSONNEL EXPENSES (Personnel Costs plus Fringe Benefit line item amounts).

Total Expenses: Add Items a. to h. to Compute Total Expenses.

Evaluation Synopsis

Provide a brief synopsis after Total Expenses on the 10 percent minimum requirement for evaluation activities. Include the following in the evaluation synopsis:

- a) A list of all line items in each category that will have any evaluation expenses.
- b) The dollar amount of the evaluation expenses per budget category.
- c) The total amount budgeted for evaluation.
- d) Consider the following factors when determining the evaluation budget:
 - At least ten percent of a lead staff person's time is required to oversee and coordinate the evaluation activities;
 - Any operating expenses (such as duplicating, posting on PARTNERS, etc.) related to the evaluation activities; and,
 - The expenses for an evaluation consultant or subcontractor related to the evaluation activities.

e) The following categories must appear in every Evaluation Synopsis in the order presented here. If there are no expenses related to one of these categories, enter zero. The information below is a sample of a completed Evaluation Synopsis for a three year RFA for \$300,000.

1) Personnel: \$7,635

Project Director: Budget \$6,960 for 10 percent of the Project Director's time for the grant term to work with the designated evaluator.

Temporary Help: Budget \$675 (75 hours x \$9 per hour) for temporary help to input data for the grant term.

2) Fringe Benefits: \$2,291

Thirty percent of Personnel Expenses listed above (\$7,635).

3) Operating Expenses: \$1,000

For supplies associated with collecting data and dissemination of evaluation findings (posting on PARTNERS, duplicating, mailing, etc.).

4) EQUIPMENT EXPENSES: \$0

5) Travel/Per Diem & Training: \$2,000

For travel to Sacramento to meet three to four times with the CDHS/TCS designated evaluator for workshops and technical assistance on evaluation component of SOW.

6) Subcontracts and Consultants: \$15,000

To hire an Evaluation Consultant for approximately 350 hours for the grant term.

7) Other Costs: \$0

8) Indirect Expenses: \$2,482

Twenty-five percent of Personnel and Fringe Combined (\$9,926).

Allocation = \$30,408 (approximately 10 percent of a \$300,000 budget)

Budget Page Instructions

General Budget Page Instructions:

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed SOW. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Using the format provided in Appendix G, Budget Sample, transfer the figures from the Budget Justification for each of the FY(s) within the RFA period. Only use whole numbers and round to the nearest dollar. Once approved, the Budget will be incorporated into the contract. Again, it is imperative that you carefully budget the expenses for each FY(s) as accurately as possible.

Budget Page Format

The Budget consists of eight (8) categories:

- a. Personnel Costs;
- b. Fringe Benefits;
- c. Operating Expenses;
- d. Equipment Expenses;
- e. Travel/Per Diem and Training;
- f. Subcontracts/Consultants;
- g. Other Costs; and,
- h. Indirect Expenses.

The Budget will consist of three columns. See Appendix G, Budget Sample.

The Subcontracts/Consultants and Other Costs categories may contain several line items with associated costs. Each line item within these two categories must be itemized in the Budget Justification and on the Budget page.

Additionally, for each subcontractor listed, prepare and submit a separate Budget and Budget Justification using the format provided in Appendices G and H. The subcontractor's line item Budget must follow the same format and instructions as the prime Budget Justification and Budget page. The concept of the subcontracts in the RFA will be reviewed by the assigned application reviewers. If approved and prior to reimbursement, CDHS/TCS must review and approve subcontract agreements costing \$5,000 or more. Refer to Section I, Chapter 600, of the Competitive Grantees Administrative and Policy Manual for more information.

9. ADDITIONAL REQUIRED FORMS

The following documents require completion/signature by the person authorized to bind the application agency.

- Drug-Free Workplace Certification (Attachment 8)
- Agency Documentation Requirements (Attachment 9)
- Proof of Non-Profit Status (No Attachment)
California public or private nonprofit organizations are eligible to apply for funds. For those applicants claiming private nonprofit status, a certification from the State of California, Office of Secretary of State, or a letter from the Department of the Treasury, IRS classifying the applicant as a private nonprofit must be included with the application (See Sample Form, Appendices A and B).
- Certification of Non-Acceptance of Tobacco Funds (Attachment 10)

V. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS

ATTACHMENT	PAGE
1. Application Cover Sheet.....	68
2. Application Checklist.....	69
3. Table of Contents	70
4. Acknowledgement of Communication with CDHS/TCS Funded Projects Form.....	71
5. Scope of Work.....	72
6. Drug-Free Workplace Certification	73
7. Agency Documentation Requirements	74
8. Certification of Non-Acceptance of Tobacco Funds	76

COVER SHEET: RFA #TCS 04-100 California Partnerships for Priority Populations

1. Applicant Information:

Applicant Name _____

Project Name _____

Mailing Address _____

City/State/Zip _____

County _____

Contact Person _____

Telephone (_____) _____ Fax (_____) _____

E-Mail _____

Federal Taxpayer Identification Number _____

2. Term of Grant: From 07/01/04 to 06/30/07

3. Total Budget Amount Requested _____

4. Location and Geographic Location of Project: Statewide

5. Check the Priority Population group addressed in this application:

- | | |
|---|--|
| <input type="checkbox"/> African American | <input type="checkbox"/> American Indian |
| <input type="checkbox"/> Asian and Pacific Islander | <input type="checkbox"/> Hispanic/Latino |
| <input type="checkbox"/> Low Socioeconomic Status | <input type="checkbox"/> Lesbian, Gay, Bisexual, Transgender |
| <input type="checkbox"/> Labor | |

6. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection. Person authorized by the Board to sign (e.g., Board of Directors, Superintendent of Schools, etc):

Signature
of Agency Representative _____ Date _____

Print Name and Title _____

APPLICATION CHECKLIST

The following attachments and components must be completed and submitted in the order shown here. Applications that are missing any of these attachments or components will be considered non-compliant and will not be reviewed. Please note that you are not required to submit the Application Checklist.

<u>Attachments and Components</u>	<u>Check Mark</u>
• One Original Application	_____
• 6 copies of the entire Application	_____
• 6 additional copies of the Narrative and Scope of Work Summary	_____
➤ • Application Cover Sheet (Attachment 1)	_____
• Application Checklist (Attachment 2)	_____
• Table of Contents (Attachment 3)	_____
• Narrative and Scope of Work Summary (No Attachment, 10 page limit)	_____
• <u>Coordination</u>	_____
• Coordination Description (No Attachment, 2 page limit)	_____
➤ • Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)	_____
• Evaluator Profile	_____
• Letter from the Evaluation Consultant	_____
• <u>Applicant Capability</u> – (No Attachment, 10 page limit, not including Letters of Reference)	_____
• Program/Evaluation Experience	_____
• Administrative/Fiscal Experience	_____
• Equipment	_____
• Letters of Reference (3 required)	_____
• Scope of Work (Attachment 5)	_____
• Budget (No Attachment)	_____
• Budget Justification (No Attachment)	_____
➤ • Drug-Free Workplace Certification (Attachment 6)	_____
➤ • Agency Documentation Requirements (Attachment 7)	_____
• Proof of Non-Profit Status (No Attachment)	_____
➤ • Certification of Non-Acceptance of Tobacco Funds (Attachment 8)	_____

NOTE: ➤ **DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.**

TABLE OF CONTENTS

PAGE

1. Narrative and Scope of Work Summary	
2. Coordination	
3. Applicant Capability.....	
4. Scope of Work.....	
5. Budget.....	
6. Budget Justification	
7. Drug-Free Workplace Certification	
8. Agency Documentation Requirements	
9. Proof of Non-Profit Status	
10. Certification of Non-Acceptance of Tobacco Funds	

ACKNOWLEDGEMENT OF COMMUNICATION FORM

For CDHS/TCS
California Partnerships for Priority Populations RFA (TCS 04-100) Application

Applicant Agency: Please copy this form and send it to the appropriate agency to complete. Requests for signatures must occur by **March 1**.

TO:

Project Director

Agency Name

Agency Classification: ☐ Local Lead Agency ☐ Competitive Grantee
 ☐ Statewide Project ☐ Other

FROM:

Applicant Agency Representative

Applicant Agency Name

Please answer the following statements, sign, and return this form to the applicant agency immediately. Thank you.

I confirm that the applicant agency identified above communicated with me to coordinate and/or collaborate in the proposed Scope of Work activities for the CDHS/TCS California RFA (TCS 04-100) Application.

☐ **Yes**, there was adequate communication with the applicant agency to plan for coordination and/or collaboration where appropriate.

☐ **No**, there was not adequate communication with the applicant agency to plan for coordination and/or collaboration

If the applicant agency is planning to coordinate or collaborate with your agency briefly describe how:

Is there duplication of activities? ☐ **Yes** ☐ **No**

If yes, please explain: _____

Signature: _____ Date: _____

Print Name: _____ Phone No.: (____) _____

Exhibit A

Scope of Work

Project Name:		Revision Date:			Report Period:		
Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only	
						Document Number/ Letter	Actual Date(s) Completed
Component:							

↑ Indicates a change

+ On file in office

Page__ of__

STATE OF CALIFORNIA

DRUG-FREE WORKPLACE CERTIFICATION

STD. 21 (12/93)

I, the official named below, hereby swear that I am duly authorized legally to bind the prospective bidder, contractor or grant recipient to the certification described below. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

COMPANY / ORGANIZATION NAME:

OFFICIAL'S NAME:

DATE EXECUTED:

EXECUTED IN THE COUNTY OF:

CONTRACTOR or GRANT RECIPIENT SIGNATURE:

TITLE:

FEDERAL ID NUMBER:

The firm named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).
2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:
 - (a) The dangers of drug abuse in the workplace,
 - (b) The person's or organization's policy of maintaining a drug-free workplace,
 - (c) Any available counseling, rehabilitation and employee assistance programs, and
 - (d) Penalties that may be imposed upon employees for drug abuse violations.
3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:
 - (a) Will receive a copy of the company's drug-free workplace policy statement, and
 - (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

At the election of above named firm, from and after the "Date Executed" and until _____ (not to exceed 36 months), the Department of Health Services (DHS) will regard this certificate as valid for all contracts or grants entered into between the above named firm and DHS without requiring the above named firm to provide a new and individual certificate for each contract or grant. If the above named firm elects to fill in the blank date, then the terms and conditions of this certificate shall have the same force, meaning, effect and enforceability as if a certificate were separately, specifically, and individually provided for each contract or grant between the above named firm and DHS.

AGENCY DOCUMENTATION REQUIREMENTS

The California Department of Health Services may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

- A. General Ledger, Journals, and Charts of Accounts
- B. Cash Receipts and Disbursements Journal with Supporting Documents
- C. Vendor Invoices to Support Expenditures
- D. Program Remittance Advices from State Controller
- E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
- F. Travel Log, Employee Expense Claims and appropriate receipts
- G. Billing Records (Program Log)
- H. State and Federal Tax Withholding Records
- I. Financial Statements and Independent Auditor's of County Auditor's Report
- J. Computation of the Fringe Benefit of Fund Sources
- K. Agency wide Budget and Listing of Fund Sources
- L. Copies of Monthly Invoices to the State
- M. Copies of Reimbursement Warrants and Remittance Advices from the State
- N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

- A. Project Application (submitted in response to this RFA)
- B. Contract and Contract Amendments
- C. CDHS/TCS Competitive Grantee Administrative and Policy Manual
- D. Progress Reports and the Final Report
- E. Program Audit Reports of Site Visits
- F. Scope of Work, Parts I and II
- G. Correspondence Regarding the Contract and/or Subcontracts
- H. Program implementation records that document the number of people served, materials developed activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

- A. Board of Director's Minutes and Articles of Incorporation
- B. Non-Profit Approval Letter/Certification
- C. Organization Chart (Agencywide) and Duty Statements
- D. Program Correspondence Files
- E. Other Program Audits of the Facility

AGENCY DOCUMENTATION REQUIREMENTS

I certify that the above will be available upon request by the CDHS, CDHS/TCS Program/Contract Manager and/or Auditors.

Director of Agency:

Agency Financial Management Official:

Signature

Date

Signature

Date

Print Name and Title

Print Name and Title

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

 Company/Organization Name

Please check one of the following:

☐ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

☐ University/Colleges Only

The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

 Signature

 Date

 Print Name and Title

VI. APPENDICES TABLE OF CONTENTS

APPENDIX	PAGE
A. Certification Application (Statement Domestic Nonprofit Corporation)	78
B. Department of Treasury IRS Form L-178.....	80
C. Tobacco Subsidiary Products.....	83
D. Advocacy Campaign Examples	88
E. Copyright and Ownership of Materials	91
F. Scope of Work Instructions Overview	94
G. Budget Sample	95
H. Budget Justification Sample	96
I. Comparable State Civil Service Classifications	97
J. Travel Reimbursement Information (CMU Bulletin 01).....	98
K. Contract Uniformity.....	100
L. Midwest Academy Strategy Chart	102



State of California
Bill Jones
Secretary of State

Appendix A
Page 1 of 2

STATEMENT BY DOMESTIC NONPROFIT CORPORATION

Filing Fee \$20.00 – If Amendment, See Instructions

IMPORTANT – Read Instructions Before Completing This Form

1. CORPORATE NAME: (Do not alter if name is preprinted.)

This Space For Filing Use Only

2. STREET ADDRESS OF PRINCIPAL EXECUTIVE OFFICE IN CALIFORNIA, IF ANY
(If none, complete 3) CITY AND STATE ZIP CODE

3. MAILING ADDRESS CITY AND STATE ZIP CODE

LIST THE NAMES AND COMPLETE ADDRESSES OF THE FOLLOWING OFFICERS: (The corporation must have these three officers. The appropriate title for the officer may be added but do not alter or obliterate the form.)

4. CHIEF EXECUTIVE OFFICER/ ADDRESS CITY AND STATE ZIP CODE

5. SECRETARY/ ADDRESS CITY AND STATE ZIP CODE

6. CHIEF FINANCIAL OFFICER/ ADDRESS CITY AND STATE ZIP CODE

7. CHECK THE APPROPRIATE PROVISION BELOW AND NAME THE AGENT FOR SERVICE OF PROCESS:

[] AN INDIVIDUAL RESIDING IN CALIFORNIA.

[] A CORPORATION WHICH HAS FILED A CERTIFICATE PURSUANT TO CALIFORNIA CORPORATIONS CODE SECTION 1505.

AGENT'S NAME: _____

8. ADDRESS OF THE AGENT FOR SERVICE OF PROCESS IN CALIFORNIA, IF AN INDIVIDUAL CITY ZIP CODE

CA

COMMON INTEREST DEVELOPMENT ASSOCIATION (Civil Code Section 1350, et seq.)

9. ☐ THIS CORPORATION IS NOT AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (PROCEED TO ITEM 11)

10. ☐ THIS CORPORATION IS AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS-STIRLING COMMON INTEREST DEVELOPMENT ACT. (PROCEED TO ITEM 10A AND 10B)

10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING NINE-DIGIT ZIP CODE

10B. NAME AND ADDRESS OF THE MANAGING AGENT

11. THIS STATEMENT IS TRUE, CORRECT AND COMPLETE.

TYPE OR PRINT NAME OF OFFICER OR AGENT

SIGNATURE

TITLE

DATE

INSTRUCTIONS FOR COMPLETING THE STATEMENT BY DOMESTIC NONPROFIT CORPORATION

Appendix A
Page 2 of 2

Type or legibly print in black or blue ink.

Statutory filing provisions are found in California Corporations Code Sections 6210, 8210 and 9660, unless otherwise indicated.

Every **domestic corporation** shall file a statement with the California Secretary of State, within 90 days after filing of its original Articles of Incorporation, and biennially thereafter during the applicable filing period. The applicable filing period for a corporation shall be the end of the calendar month during which its original Articles of Incorporation were filed and the immediately preceding five calendar months.

FILING FEES: If this statement is the initial 90-day statement or a biennial statement, a **\$20.00** filing fee must accompany this statement.

Amendment: If this statement is being filed to amend any information on a previously filed statement, and is not a biennial filing, **no fee** is required.

A corporation is required to file a statement even though it may not be actively engaged in business at the time this statement is due.

Failure to file this completed form by its due date will result in the assessment of a penalty. The penalty for domestic nonprofit corporations is \$50 (California Corporations Code Sections 6810 and 8810). See also California Revenue and Taxation Code Section 19141.

For further information, contact the Statement of Officers Unit at (916) 657-3537.

- **Make check(s) payable to the Secretary of State.** Send the executed document and filing fee to:
California Secretary of State, Statement of Officers, P.O. Box 944230, Sacramento, CA 94244-2300
- The Secretary of State will endorse file one copy of the filed statement at no additional cost, provided that the copy is submitted to the Secretary of State along with the original to be filed.

Fill in the items as follows:

- Item 1.** Do not alter the preprinted corporate name. If the corporation name has been changed and is not correct, please attach a statement indicating the correct name and the date the name change amendment was filed with the Secretary of State. If the space is blank, enter the **exact** corporate name and number.
- Item 2.** Enter the complete street address, city, state and zip code, of the principal executive office in California, if any. DO NOT enter a P.O. Box or abbreviate the name of the city.
- Item 3.** Enter the mailing address of the corporation.
- Items 4-6.** Enter the name and complete business or residence address of the corporation's chief executive officer (i.e. president), secretary and chief financial officer (i.e. treasurer). DO NOT abbreviate the name of the city. The corporation must have these three officers. An officer may hold more than one office **EXCEPT** in a nonprofit **public benefit or religious** corporation, neither the secretary nor the chief financial officer may serve concurrently as the president or chairman of the board (California Corporations Code Sections 5213 and 9213). Please note, unless otherwise provided in the Articles of Incorporation or Bylaws, the president, or if there is no president the chairman of the board, is the chief executive officer of the corporation. You may add a title appropriate for your corporation but, **do not alter or obliterate preprinted titles.**
- Item 7.** Enter the name of the agent for service of process in California. The person named as agent must be a resident of California or a corporation which has filed a certificate pursuant to California Corporations Code Section 1505. If an individual is designated as agent, proceed to Item 8. If a corporation is designated, proceed to Item 9 (do not complete Item 8). **Please Note:** A corporation cannot name itself as agent for service of process.
- Item 8.** If an individual is designated as the agent for service of process, enter a business or residential address in California. DO NOT enter "in care of" (c/o) or abbreviate the name of the city. DO NOT enter an address if a corporation is designated as the agent for service of process.

Civil Code Section 1350, et seq., mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to California Corporations Code Section 1502.

- Item 9.** Check the box if the corporation was not formed to manage a common interest development under the Davis-Stirling Common Interest Development Act and proceed to Item 11.
- Item 10.** Check the box if the corporation was formed to manage a common interest development under the Davis-Stirling Common Interest Development Act.
- Item 10A.** Enter the business or corporate office of the association, if any. If the office is not on the site of the common interest development, state the nine-digit zip code, front street, and nearest cross street for the physical location of the common interest development.
- Item 10B.** Enter the name and address of the association's managing agent, if any. (Civil Code Section 1363.5)
- Item 11.** Type or print name and title of the officer or agent completing the form. Enter the date the form is completed.

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: Employer Identification Number:
xx-xxxxxxx
DLN:
xxxxxxxxxx
Contact Person:
XXXX XXXXX
Contact Telephone Number:
(XXX) XXX-XXXX
Accounting Period Ending:
March 31
Foundation Status Classification:
170 (b) (1) (A) (vi)
Advance Ruling Period Begins:
January 22, 1997
Advance Ruling Period Ends:
March 31, 2001
Addendum Applies:
None

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509 (a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509 (a) (1) and 170 (b) (1) (A) (vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509 (a) (1) or 509 (a) (2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may deduct contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally \$25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return.

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of \$20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed \$10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding \$1,000,000 in any year, the penalty is \$100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding \$1,000,000 shall not exceed \$50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of \$20 per day for each day there is a failure to comply (up to a maximum of \$10,000 in the case of an annual return).

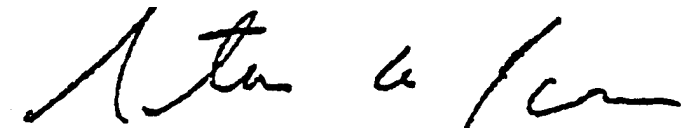
You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

A handwritten signature in black ink, appearing to read "A. T. ...", is written over the printed name of the District Director.

District Director

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

This list is not a comprehensive resource and should be not relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

BEVERAGES

Coffee

General Foods International Coffees
Gevalia
Maxim
Maxwell House
Sanka
Starbucks*
Yuban

Frozen Treats

Mr. Freeze
Kool-Aid Slushies

Powdered Soft Drinks

Country Time
Crystal Light
Kool-Aid
Tang

Ready-to-Drink

Capri Sun*
Country Time
Crystal Light
Kool-Aid Bursts
Tang
Total Balance

CONVENIENT MEALS

Bacon

Oscar Mayer
Louis Rich

Cold Cuts

Oscar Mayer
Louis Rich

Dinner Kits

Stove Top Oven Classics
Taco Bell*

Frozen Pizza

California Pizza Kitchen*
DiGiorno
Jack's
Tombstone

Hot Dogs

Oscar Mayer

Lunch Combinations

Lunchables

Macaroni & Cheese Dinner

Kraft
Kraft Easy Mac
Velveeta

Meat Alternatives

Boca

Meat Snacks

Tombstone

Pastas and Sauces

DiGiorno

CHEESE

Cold Pack Cheese

Woody's

Cottage Cheese

Breakstone's
Knudsen
Light n' Lively

Cream Cheese

Philadelphia
Temp-tee

Grated Cheese

Kraft

Natural Cheese

Athenos
Churny
Cracker Barrel
DiGiorno
Handi-Snacks
Harvest Moon
Hoffman's
Kraft
Polly-O

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

This list is not a comprehensive resource and should be not relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Process Cheese Loaves

Kraft Deluxe
Old English
Velveeta

Process Cheese Sauce

Cheez Whiz

Process Cheese Slices

Kraft Deli Deluxe
Kraft Free Singles
Kraft Singles
Kraft 2% Milk Singles
Velveeta

Process Cheese Spread

Easy Cheese

GROCERY

Baking Chocolate/Coconut

Baker's

Baking Powder

Calumet

Barbecue Sauce

Bull's-Eye
Kraft

Breakfast Beverage

Postum

Coating Mix

Shake 'n Bake
Oven Fry

Condiments

Grey Poupon
Kraft
Sauceworks

Cooked Cereal

Cream of Wheat

Cereal Bars

Nabisco

Dips

Kraft

Dog Biscuits

Milk-Bone

Dry Packaged Desserts

Dream Whip
D-Zerta
Jell-O
Minute

Energy Bars

Balance
Oasis Bars

Fruit Preservatives

Ever Fresh

Frozen Whipped Topping

Cool Whip

Ice Cream Topping

Kraft

Margarine

Parkay (Puerto Rico only)

Pasta Salads

Kraft

Pectins

Certo
Sure-Jell

Pickles/Sauerkraut

Claussen

Pie Crusts

Honey Maid
Nilla
Oreo

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

This list is not a comprehensive resource and should be not relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Ready-to-Eat Cereals

Post
Alpha-Bits
Banana Nut Crunch
Blueberry Morning
Cinna-Cluster Raisin Bran
Cranberry Almond Crunch
Frosted Shredded Wheat
Fruit & Fibre
Golden Crisp
Grape-Nuts
Great Grains
Honey Bunches of Oats
Honeycomb
Nabisco (Puerto Rico only)
Natural Bran Flakes
Oreo O's
Pebbles*
Raisin Bran
Shredded Wheat
Shredded Wheat 'n Bran
Spoon Size Shredded Wheat
Toasties
Waffle Crisp
100% Bran

Rice

Minute Rice

Salad Dressings

Good Seasons
Kraft
Seven Seas

Sour Cream

Breakstone's
Knudsen

Spoonable Dressing

Kraft Mayo
Miracle Whip

Steak Sauce, Marinade, Worcestershire

A. 1.

Stuffing Mix

Stove Top

Toaster Pastries

Kool Stuf

Yogurt

Breyers*
Jell-O
Light n' Lively

Snacks

Cookies
Barnum's Animals
Biscos
Café Creme
Cameo
Chips Ahoy!
Crispin (Puerto Rico only)
Dad's
Danish (Puerto Rico only)
Famous Chocolate Wafers
Family Favorites
Old Fashioned
Ginger Snaps
Hony Bran (Puerto Rico only)
Konitos (Puerto Rico only)
Lorna Doone
Mallomars
Marshmallow Twirls
Nabisco (Puerto Rico only)
National Arrowroot
Newtons
Nilla
Nutter Butter
Oreo
Peak Freans
Pecan Passion
Pecanz
Pinwheels
SnackWell's
Social Tea
Stella D'oro
Sweetie Pie (Puerto Rico only)
Teddy Grahams
Wild Thornberry's*

TOBACCO SUBSIDIARY PRODUCTS

Philip Morris / Altria

This list is not a comprehensive resource and should be not relied upon to be complete or correct since changes in corporate and product ownership commonly occurs

Crackers

Air Crisps
Better Cheddars
Cheese Nips
Club Social (Puerto Rico only)
Crown Pilot
Doo Dad
Flavor Crisps
Harvest Crisps
Honey Maid
Nabisco Grahams
Nabs
Premium
Ritz
Royal Lunch
SnackWell's
Stoned Wheat Thins
Sportz (Puerto Rico only)
Sultana (Puerto Rico only)
Triscuit
Uneeda
Wheatworth
Wheat Thins
Zwieback

Ice Cream Cones

Comet Cups

Packaged Food Combinations

Handi-Snacks
Lunchables

Refrigerated Ready-to-Eat Desserts

Jell-O
Handi-Snacks

Snack Nuts

Corn Nuts
PB Crisps
Planters

Sugar Confectionery

Altoids
Callard & Bowser
CremeSavers
Jet-Puffed
Kraft Caramels
Life Savers
Milka L'il Scoops
Nabisco Fun Fruits
Terry's
Tobler
Toblerone
Trolli

Miller Brands**

Miller Beer
Miller Genuine Draft
Miller High Life
Sharp's non-alcohol brew
Milwaukee's Best
Meister Brau
Magnum Malt Liquor
Henry Weinhard's
Hamm's
Olde English 800 Malt Liquor
Mickey's Malt Liquor
Red Dog
ICEHOUSE
Southpaw
Leinenkugel
Celis
Pale Rider
Shipyard Export Ale
Goat Island Ale
Fuggles Pale Ale
Old Thumper Extra Special Ale
Blue Fin Stout
Longfellow Ale
Mystic Seaport Pale Ale
Chamberlain Pale Ale
Sirius
Prelude Ale
Molson
Foster's Lager
Sheaf Stout
Presidente
Shanghai

*Kraft is the distributor for these brands:

-Breyers is a registered trademark owned and licensed by Unilever, N.V.
-Capri Sun is a registered trademark of Rudolf Wild GmbH & Co. KG, used under license.
-California Pizza Kitchen is a trademark owned and licensed by California Pizza Kitchen, Inc.
-Jenny Craig is a registered trademark of Jenny Craig, Inc., used under license.
-Pebbles is a registered trademark of Hanna-Barbera Productions, Inc. Licensed by Hanna-Barbera Productions, Inc.
-Starbucks is a registered trademark of Starbucks U.S. Brands Corporation.
-Nickelodeon and all related titles, characters and logos are trademarks owned and licensed by Viacom International Inc. All rights reserved.
-Taco Bell is a registered trademark owned and licensed by Taco Bell Corp.

**Altria Group, Inc. holds a 36% economic interest in SABMiller plc as a result of the 2002 Miller Brewing Company merger into South African Breweries plc, which formed SABMiller plc, the world's second-largest brewer.

TOBACCO SUBSIDIARY PRODUCTS
United States Smokeless Tobacco Company

Wines

Chateau Ste. Michelle
Columbia Crest
Domaine Ste. Michelle
Villa Mt. Eden
Conn Creek
Northstar
Snoqualmie

ADVOCACY CAMPAIGN EXAMPLES

The following are suggestions for each priority area that may be used to design interventions for advocacy campaigns. Keep in mind, these are *only suggestions* and the applicant should tailor their campaigns to meet the needs of their target populations.

Priority 1: Counter Pro-Tobacco Influences in the Community

Point of Sale Advertising & Promotion

- Promote policies to prohibit or restrict in-store tobacco advertising and promotions or outdoor signage not banned by the Master Settlement Agreement (MSA).
- Document tactics that target ethnic communities with increased signage or placement designed to target children.
- Expose and counter the tobacco industry's tactic of offering monetary compensation for preferred in-store advertising space by documenting the level and frequency of tobacco industry slotting tactics, explore alternative product placement options, promote policies that ban slotting fee activities for tobacco (similar to what currently exists for alcohol).

Transnational Influence

- Identify and publicize how transnational promotion of, and addiction to, tobacco impacts California's ethnic populations (especially recent immigrants).
- Educate policy makers and opinion leaders about tobacco dumping in developing countries and its impact on trade relations.
- Promote adoption of the World Health Organization Framework Convention for Tobacco Control.

Sponsorship/Corporate Giving

- Document and expose the level of tobacco industry sponsorship of local organizations or events that target ethnic communities.
- Advocate for policies that prohibit acceptance of tobacco industry funds for donations, scholarships, event sponsorship, and/or corporate giving.

Celebrity Participation in Sporting and Entertainment Events

- Monitor and expose individuals who use their celebrity status to market tobacco products to ethnic populations locally and overseas.
- Create media campaigns and letter writing campaigns to raise public awareness.
- Enlist support by obtaining celebrity pledges to not accept tobacco industry funds.
- Policies to prohibit celebrity events where tobacco industry sponsorship exists.

Exploitation of Ethnic Groups

- Create advocacy campaigns that disprove the exploitation of certain ethnic images in tobacco industry products, advertising, and promotions. Use of letter writing campaigns in addition to media and press events should be utilized.

Priority 2: Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-Free Public Spaces, Worksites, Schools, and CommunitiesWorkplace Compliance

- Increase the number of small workplaces (e.g. cantinas, corner stores) that enforce the smoke-free law by educating business owners and encouraging increased enforcement.

Smoke-Free Homes and Vehicles

- Coordinate an effort to decrease the number of children and family members exposed to secondhand smoke through an education campaign that is specifically designed to reach the particular ethnic population.
- Educate smokers on secondhand smoke hazards through an ethnic-specific media advocacy campaign.

Tribal Policies

- Coordinate the establishment of policies to limit secondhand smoke exposure in public places on tribal lands, which are not covered under AB 13, including gaming facilities, restaurants, recreational facilities, tribal buildings, etc.
- Facilitate the efforts of statewide economic development collaboratives between tribal casinos and tribal governments that create smoke free alternatives, policy adoption, community activism, and education of tribal policy makers.

Smoke-Free Outdoor Areas

- Promote smoke-free policies that will prohibit smoking in places where the public, and in particular, children congregate, such as public parks, amusement parks, zoos, playgrounds, recreational sites, outside entrances, exits of buildings.

Smoke-Free Outdoor Venues

- Institute policies to establish family and community events as smoke free or designated smoking areas at outdoor venues, such as concerts and festivals (Cinco de Mayo festivals, Tet and New Year's Festivals, Pow Wow's, Kwanza Festivals, etc.)

Smoke-Free Multiple Housing Units

- Advocate for smoke-free living spaces in ethnic neighborhoods where multiple housing units (apartment buildings and condominiums) exist. Gain support through tenant petitions, property owner and/or management education, corporate policies, tobacco free housing registries.

Priority 3: Reduce Availability to Tobacco ProductsRetail Tobacco Sales

- Advocate for policies that regulate how tobacco is sold in retail outlets by promoting retailer licensing and self-service display bans.
- Encourage law enforcement personnel to actively enforce Penal Code Section 308(a).
- Develop community collaborations to build more consistent enforcement action and policy promotion by training law enforcement personnel, community and merchant education.

Location of Tobacco Retail Outlets

- Document intentional targeting of ethnic neighborhoods by the tobacco industry to establish a foundation for “public nuisance”, create an action plan to address the problem by promoting conditional use permits, and/or encouraging mall, shopping center and plaza lease agreements to prohibit businesses that sell tobacco products.

COPYRIGHT AND OWNERSHIP OF MATERIALS

The following is the required copyright and ownership of materials language in the CDHS/TCS grant:

- A. The State shall be the owner of all rights, title and interest in, not limited to the copyright to, any and all Works created, provided, or developed in part or in total under this grant, whether or not published or produced. For purposes of this paragraph, "Works" are all literary Works, writings and printed matter, including the medium by which it is recorded or reproduced, and photographs, art work, pictorial and graphic representations, motion pictures, other audiovisual products, digital recordings, tape recordings, educational materials, original computer software programs, data, and any other materials or products conceived, developed, or delivered as a result of this grant. The copyright to any and all Works created, provided, or developed under this grant, whether published or not published or produced, belongs to the State from the moment of creation.
- B. The State retains all rights to use, reproduce, distribute, or display any Works created, provided, or produced under this grant and any derivative works based on grant Works, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common law copyright law.
- C. Grantee shall grant to the State, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this grant that is not fixed in any tangible medium of expression.
- D. If for any reason, the State is not deemed to be the owner of all rights, title and interest in the Works created, provided, developed, or produced under this grant, then Grantee, by entering into this grant, assigns all such rights to the State.
- E. For any product, data or material which is created, provided, developed, or produced under this grant which is not deemed a Work, the Grantee shall grant the State a royalty-free, non-exclusive, and irrevocable license throughout the world to reproduce, to produce derivative Works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes, and to have or permit others to do so.
- F. Subject to the terms, conditions, and limitations contained in this grant and subject to the performance of all terms and conditions stated in this grant, the State grants to the Grantee a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this grant for the purpose of carrying out the terms and conditions of this grant, consistent with any limitations set forth in this grant.
- G. For Works requiring the use of other copyright holders' materials, the Grantee shall furnish the names and addresses of all copyright holders or their agents, if any, and the terms of any licenses or usage granted, at the time of delivery of the Works. No materials of other copyright holders shall be used without prior written permission of the State and the holder of the copyright.

- H. At any time the Grantee enters into an agreement with another party in order to perform the work required under this grant, the Grantee shall require the agreement to include language granting the State a copyright interest in any Works created, provided, developed, or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression. In addition, the Grantee shall require the other party to assign those rights to the State in a format prescribed by the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so.
- I. The Grantee represents and warrants that:
- 1) the Grantee is free to enter into and fully perform this agreement;
 - 2) the Grantee has secured or will secure all rights and licenses necessary for the creation, production, or development of the Works under this grant;
 - 3) neither the Works created, produced, or developed under this grant, the materials contained therein, nor the exercise by either the Grantee or the State of the rights described or granted in this grant, shall infringe upon or violate the rights or interests of any person or entity;
 - 4) neither the Works, nor any part of the Works, created, produced, or developed under this grant shall: a) violate the right of privacy of, or b) constitute a libel or slander against, or c) infringe upon the copyright, literary, dramatic, statutory or common law rights, trademarks or service marks of any person, firm, or corporation; and
 - 5) the Grantee has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to the State in this grant.
- J. All Works distributed under the terms of this grant and any reproductions of visual Works or text of such Works shall include a notice of copyright in a place that can be visually perceived either directly or with the aid of a machine or device. This notice shall be placed prominently on Works and set apart from other matter on the page or medium where it appears.

- K. The Grantee shall indemnify, defend and hold harmless the State and its licensees and assignees, and their officers, directors, employees, agents, representatives, successors, licensees and assignees from and against all claims, actions, damages, losses, costs and expenses, including reasonable attorneys' fees, which any of them may sustain because of the use, reproduction, distribution, display or transfer of the Works and any other materials furnished by Grantee under this grant, or because of the breach of any of the representations or warranties made in this grant award.
- L. If the use of any Work is enjoined as a result of any action or proceeding, the Grantee shall, at its own expense and at the option of the State:
- 1) procure for the State the right to continue to use said element, if the cost of said element does not exceed the reasonable cost anticipated under paragraph 16.L.2) or 16.L.3) below; or
 - 2) replace said element with a comparable element which is non-infringing or does not violate the rights or interest of any person or entity; or
 - 3) modify said element so it becomes non-infringing or does not violate the rights or interest of any person or entity.
- M. The State owns all materials developed, provided, and produced for the State under this grant. During the contracting phase of this process, the State shall negotiate with the Grantee to determine the number of camera-ready and completed versions of each deliverable the State will receive. It is anticipated that the State will use deliverables in future tobacco control programs.

**Scope of Work
Instructions**

Project Name:	Revision Date:				Report Period:		
Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only	
						Document Number/ Letter	Actual Date(s) Completed
Component: State the required or optional component the objective will address.							
<p>In outline format, state an objective and following each objective, include the CX indicator or asset number that the objective addresses. Describe the interventions to be implemented to achieve the objectives. Use intervention category headers as you describe activities. Immediately following the description of the intervention activities, describe the outcome evaluation plan.</p> <p>1. Outcome Specific Objective: The objectives should be measurable and clearly identify the expected result or outcome. It should state how much change will occur, for what target group, when the objective will be met and what location. A good objective is measurable, quantifiable, and time limited. Objective should also identify the Indicator or asset being addressed.</p> <p><i>Example: By 6/30/07 the City of OZ will enact a policy to license tobacco retailers. (CX Indicator 3.2.1)</i></p> <p>A. Intervention Categories: Group activities under major intervention categories: Community Education; Coordination/Collaboration; Educational Materials Development; Incentive Items; Media; Mini-Grants; Policy; Promotional Items; School-based Education; Sponsorship; and Training/Technical Assistance, with activities listed chronologically within each category.</p> <p>B. Intervention Activities: Use an outline format to describe the activities to be conducted to achieve the objective. Describe the planning, collaboration, educational, policy, media and training activities used to achieve the objective. List these in chronological order. The description should describe your target group, what will be done, and how much will be done. This should include the steps, methods and strategies to educate and mobilize the community. The intervention may include: meetings, presentations, trainings, letter writing campaigns, press conferences, materials development, etc.</p> <p><i>Example:</i> <u>Community Education</u> 1. Conduct 2-4 community forums on tobacco retailer licensing with participation from law enforcement, youth, parents and other interested parties. Topics to be addressed will include the problem of illegal sales of tobacco products, solutions, and action steps.</p> <p>Outcome Evaluation Activities: Describe the evaluation design, methodology, data collection and analysis, and plan for disseminating evaluation findings.</p>	Indicate if the activity involves development of a product such as a brochure, poster, ad, manual, etc. for which there should be a copyright by placing the sign "©".	For each program deliverable, indicate a percent between 0.5% and 100% that reflects the value or percent of effort by staff and budget. Total %s assigned may not be less than or greater than 100%.	List the progress report periods during which each program and evaluation activity is expected to start and end. The progress report periods are: 07/03-12/03 01/04-06/04 07/04-12/04 01/05-06/05.	Identify who is responsible for conducting or participating in the major activities. This may include staff, coalition members or community volunteers, evaluation consultant, etc. Please list the position title. If using acronyms, please indicate what the acronym stands for.	Describe the tracking measures which document that the process oriented activities were completed. Examples of tracking measures include: sign-in sheets, press releases, survey instruments, evaluation reports, etc. Some tracking measures, such as meeting notes, individual registration forms completed, and others may be kept "on file in office." Place a plus sign (+) beside the tracking measure you would like to keep on file in your office. <u>These items must be on file in the event of an audit</u>		

+ On file in office

Page__ of __

BUDGET SAMPLE

Name of Grantee: ABC Community Agency					Revision Date:			
Grant Number: 04-xxxxx								
Term: 7/1/04-6/30/07								
	PAY PERIOD	#of Pay Periods Per Year	Salary Range	% of time or Hours per PP	YEAR 1 7/1/04-6/30/05	YEAR 2 7/1/05-6/30/06	YEAR 3 7/1/06-6/30/07	Total Budget
A. PERSONNEL COSTS								
1. Project Director	S	24	\$4,220-\$5,274	100	\$0	\$0	\$0	\$0
2. Project Coordinator	S	24	\$3,840-\$4,801	100	\$0	\$0	\$0	\$0
3. Health Educator	S	24	\$3,193-\$3,980	100	\$0	\$0	\$0	\$0
4. Project Assistant	S	24	\$3,130-\$3,805	100	\$0	\$0	\$0	\$0
5. Secretary	H	24	\$2,525-\$3,072	100	\$0	\$0	\$0	\$0
Total Personnel Costs:					\$0	\$0	\$0	\$0
B. FRINGE BENEFITS @ XX%-XX% of Total Personnel Costs					\$0	\$0	\$0	\$0
TOTAL PERSONNEL EXPENSES:					\$0	\$0	\$0	\$0
C. OPERATING EXPENSES					\$0	\$0	\$0	\$0
					\$0	\$0	\$0	\$0
D. EQUIPMENT EXPENSES					\$0	\$0	\$0	\$0
					\$0	\$0	\$0	\$0
E. TRAVEL/PER DIEM and TRAINING					\$0	\$0	\$0	\$0
					\$0	\$0	\$0	\$0
F. SUBCONTRACTS AND CONSULTANTS					\$0	\$0	\$0	\$0
					\$0	\$0	\$0	\$0
1. Mini-Grants					\$0	\$0	\$0	\$0
2. Evaluation Consultant					\$0	\$0	\$0	\$0
3. ABC Company					\$0	\$0	\$0	\$0
TOTAL SUBCONTRACTS AND CONSULTANTS:					\$0	\$0	\$0	\$0
G. OTHER COSTS					\$0	\$0	\$0	\$0
1. Educational Materials					\$0	\$0	\$0	\$0
2. Promotional Items					\$0	\$0	\$0	\$0
3. Incentives								
4. Media					\$0	\$0	\$0	\$0
5. Additional Expenses					\$0	\$0	\$0	\$0
TOTAL OTHER COSTS:					\$0	\$0	\$0	\$0
H. INDIRECT EXPENSES @ XX%-XX% of Total Personnel Expenses					\$0	\$0	\$0	\$0
TOTAL EXPENSES:					\$0	\$0	\$0	\$0

BUDGET JUSTIFICATION FORMAT SAMPLE

ABC COMMUNITY SERVICES, INC. BUDGET JUSTIFICATION JULY 1, 2004-JUNE 30, 2007

AMOUNT REQUESTED

	<u>FY 04/05</u>	<u>FY 05/06</u>	<u>FY 06/07</u>	<u>Grant Term</u>
--	-----------------	-----------------	-----------------	-------------------

A. PERSONNEL SALARIES

- | | | | | |
|---|----------|----------|----------|-----------|
| 1. Project Director
(\$4,220-\$5,274 paid semi-monthly) x (100%) x (24 pps/year) | \$56,964 | \$59,808 | \$62,796 | \$179,568 |
|---|----------|----------|----------|-----------|

Project Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal & general coordination of the project. Monitors the project budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 10% of his/her time to oversee the implementation of the evaluation and work with the evaluation consultant.

- | | | | | |
|--|----------|----------|----------|-----------|
| 2. Project Coordinator
(\$3,840-\$4,801 paid semi-monthly) x (100%) x (24 pps/year) | \$32,400 | \$34,020 | \$35,724 | \$102,144 |
|--|----------|----------|----------|-----------|

Under supervision of the Project Director, responsible for coordinating the tobacco program's media activities, promotional events, trainings, newsletter, and other duties as required. Devotes 5% of his/her time to implement evaluation activities.

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Title	Comparable Monthly Salary **
Health Education Consultant Supervisor III	Project Director	\$4,746-\$5,768
Health Education Consultant II	Senior Health Educator or Assistant Project Director	\$4,194-\$5,243
Health Education Consultant I	Health Educator or Health Education Assistant	\$3,110-\$4,346
Administrative Assistant I	Program Coordinator/Assistant	\$3,418-\$4,347
Office Services Supervisor II	Office Manager	\$2,759-\$3,355
Management Services Technician	Community Health Worker	\$2,331-\$3,201
Research Scientist II	Evaluation Consultant	\$4,960-\$5,984
Research Scientist I	Evaluation Consultant	\$4,516-\$5,448
Associate Governmental Program Analyst	Research Analyst II	\$4,111-\$4,997
Staff Services Analyst	Research Analyst I	\$2,632-\$4,155
Legal Counsel	Attorney	\$3,834-\$4,847
Graduate Legal Assistant	Graduate Legal Assistant	\$3,493-\$3,834
Senior Legal Analyst	Paralegal	\$4,316-\$5,247
Legal Analyst	Paralegal	\$3,589-\$4,363
Legal Assistant	Paralegal	\$3,164-\$3,846

Travel Reimbursement Information Effective October 1, 2001

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.
 - a. Reimbursement shall be at the rates established for nonrepresented/excluded state employees.
 - b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of special assignments.
 - c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this exhibit to determine the reimbursement allowance. All lodging must be receipted. If Contractor does not present receipts, lodging will not be reimbursed.

(1) Lodging (with receipts):

Travel Location / Area	Reimbursement Rate
Statewide Non-High Cost Area	\$ 84.00 plus tax
Counties of Los Angeles and San Diego	\$110.00 plus tax
Counties of Alameda, San Francisco, San Mateo, and Santa Clara	\$140.00 plus tax

Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.

- (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the Contractor will be reimbursed actual amounts spent up to the maximum.

Meal / Expense	Reimbursement Rate
Breakfast	\$ 6.00
Lunch	\$ 10.00
Dinner	\$ 18.00
Incidental	\$ 6.00

- d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-of-state travel, Contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, Contractors must have prior Departmental approval and a budgeted trip authority.
- e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.

- f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.
2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, CDHS shall inform the Contractor, in writing, of the revised travel reimbursement rates.
3. For transportation expenses, the Contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
4. **Note on use of autos:** If a Contractor uses his or her car for transportation, the rate of pay will be 34 cents maximum per mile. If the Contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim up to 37 cents per mile. If a Contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The Contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.
5. The Contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel; departure and return times; destination points; miles driven; mode of transportation; etc.
6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

Travel Reimbursement Guide

Length of travel period	This condition exists...	Allowable Meal(s)
Less than 24 hours	Travel begins at 6 a.m. or earlier and continues until 9 a.m. or later.	Breakfast
Less than 24 hours	<ul style="list-style-type: none"> • Travel period ends at least one hour after the regularly scheduled workday ends, or • Travel period begins prior to or at 5 p.m. and continues beyond 7 p.m. 	Dinner
24 hours	Travel period is a full 24-hour period determined by the time that the travel period begins and ends.	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Travel period is more than 24 hours and traveler returns at or after 8 a.m.	Breakfast
	Travel period is more than 24 hours and traveler returns at or after 2 p.m.	Lunch
	Travel period is more than 24 hours and traveler returns at or after 7 p.m.	Dinner

CONTRACT UNIFORMITY

Pursuant to the provisions of Article 7 (commencing with Section 100525) of Chapter 3 of Part 1 of Division 101 of the Health and Safety Code, the Department of Health Services sets forth the following policies, procedures, and guidelines regarding fringe benefits.

1. As used in this agreement with reference to State and/or federal funds, fringe benefits shall mean an employment benefit given by one's employer to an employee in addition to one's regular or normal wages or salary.
2. As used herein, fringe benefits do not include:
 - a. Compensation for personal services paid currently or accrued by the Contractor for services of employees rendered during the term of this agreement, which is identified as regular or normal salaries and wages, annual leave, vacation, sick leave, holidays, jury duty, and/or military leave/training.
 - b. Director's and executive committee member's fees
 - c. Incentive awards and/or bonus incentive pay
 - d. Allowance for off-site pay
 - e. Location allowances
 - f. Hardship pay
 - g. Cost-of-living differentials
3. Specific allowable fringe benefits include:
 - a. Fringe benefits in the form of employer contributions for the employer's portion of payroll taxes (i.e., FICA, SUI, SDI), employee health plans (i.e., health, dental, and vision), unemployment insurance, workers compensation insurance and the employers portion of pension/retirement plans provided they are granted in accordance with established written organization policies and meet all legal and Internal Revenue Service requirements.
4. To be an allowable fringe benefit, the cost must meet the following criteria:
 - a. Be necessary and reasonable for the performance of the contract.
 - b. Be determined in accordance with generally accepted accounting principles.
 - c. Be consistent with policies that apply uniformly to all activities of the Contractor.
5. It is agreed by both parties that any and all fringe benefits shall be at actual cost.
6. Earned/accrued Compensation.
 - a. Compensation for vacation, sick leave, and holidays is limited to that amount earned/accrued within the contract term. Unused vacation, sick leave, and holidays earned from periods prior to the contract period cannot be claimed as allowable costs (See example on page 2)
 - b. For multiple year contracts, vacation and sick leave compensation, which is earned/accrued but not paid, due to employee(s) not taking time off may be carried over and claimed within the overall term of the multiple years of the contract. Holidays cannot be carried over from one contract year to the next. (See example on page 2).
 - c. For single year contracts, vacation, sick leave, and holiday compensation which is earned/accrued but not paid, due to employee(s) not taking time off within the contract term, cannot be claimed as an allowable cost (See example on page 2).

Contract Uniformity
Earned/Accrued Compensation Examples

Example No. 1:

If an employee, John Doe, earns/accrues three weeks of vacation and twelve days of sick leave each year, then that is the maximum amount that may be claimed during a contract period of one year. If John Doe has five weeks of vacation and eighteen days of sick leave at the beginning of the State contract term, the Contractor during a one-year contract term may only claim up to three weeks of vacation and twelve days of sick leave actually used by the employee. Amounts earned/accrued in periods prior to the beginning of the contract are not an allowable cost.

Example No. 2:

If during a three-year (multiple year) contract John Doe does not use his three weeks of vacation in year one, or his three weeks in year two, but he does actually use nine weeks in year three; the Contractor would be allowed to claim all nine weeks paid for in year three. The total compensation over the three-year period cannot exceed 156 weeks (3 x 52 weeks).

Example No. 3:

If during a single year contract, John Doe, works fifty weeks and uses one week of vacation and one week of sick leave and all fifty-two of these weeks have been billed to the State, the remaining unused two weeks of vacation and seven days of sick leave may not be claimed as an allowable cost.

Midwest Academy Strategy Chart

APPENDIX L

Goals	Organizational Considerations	Constituents, Allies and Opponents	Targets	Tactics